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**SCHOOL-BASED MANAGEMENT INITIATIVES
IN SRI LANKA: POLICY INTO PRACTICE**

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**SUBMITTED TO THE UNIVERSITY OF SUSSEX FOR THE
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UNIVERSITY OF SUSSEXMADURA MANGALIKA WEHELLAINTERNATIONAL PROFESSIONAL DOCTORATE IN EDUCATIONSCHOOL-BASED MANAGEMENT INITIATIVES IN SRI LANKA:
POLICY INTO PRACTICESUMMARY

This thesis evaluates the policy intentions, practices and effects of two different types of School-Based Management (SBM) initiatives in Sri Lanka: the Programme for School Improvement (PSI) and the Child-Friendly Schools Initiative (CFSI). Moreover, it examines the similarities and differences between these two initiatives and, when they co-exist in the same school, the ways in which schools have integrated them. PSI is the national SBM initiative of Sri Lanka introduced to the schools during 2006-2011 following a prolonged process of designing and consensus building which started in the 1990s. Running parallel to PSI, the CFSI - a rights-based approach to education which also has SBM features - is being implemented in selected primary schools.

The policy discourse of SBM/PSI focused on the proposition that schools should be empowered to meet the expectations of their communities and that the administrative decentralisation which had shifted power from national to provincial levels was not addressing adequately disparities between schools. At the same time, there was scepticism as to whether SBM would be able to address the issues of a heterogeneous school system. CFSI was introduced by UNICEF in response to the government's request to strengthen disadvantaged schools. The policy intentions of these two initiatives were investigated through interviews with key policy officials and with the representatives of development partner agencies who assisted PSI and CFSI. The influences of the policy-intents of PSI and CFSI on organisational practices, their effects, similarities, differences and complementarities were explored through six school case studies and experiences of the principals, teachers and parents.

The thesis reveals that PSI is expected to empower schools with autonomy for making collaborative decisions, create a sense of ownership among the school community and permit improvement of schools. CFSI is intended to promote inclusiveness, child-centredness and democratic participation. They are both, in principle, guided by the concerns for ensuring equitable opportunities for all to learn, improving the quality of education which is judged by student learning outcomes and improving efficiency in resource allocation and use.

At the school level, each case-study school has forged collaboration between school-parent-community and ensured democracy in decision-making. School-based decision-making is promoted by PSI through a set of Ministry guidelines and by CFSI through a participatory approach recommended by UNICEF and the Ministry, but having less official ‘force’ than PSI. Both initiatives have influenced to increase parents’ contribution in the school physical infrastructure development and in the educational projects. School-based planning has been promoted by both initiatives, and in some cases has resulted in the production of two separate plans. Some schools have combined these plans in accordance with the thematic structure of national Education Sector Development Framework. These initiatives have involved principals and teachers in decision-making, planning and implementation of programmes in collaboration with the community. The emphasis given to school-based teacher development is, however inadequate. Nonetheless, the increases in attendance and retention was influenced by CFSI rather than PSI, while both initiatives have had a positive influence by improving student learning and performance through various interventions at school and learning at home.

The several ways in which these initiatives are integrated by schools, ensuring that each contributes towards filling the gaps left by the other are described. Considering their complementarities, the positive features of management in PSI and rights-based approach to education in CFSI in a rational manner, the author recommends an integrated ‘Learner-Friendly School-Based Management Model’ which will effectively address learners’ needs. It also recommends a methodology to pilot this model in Sri Lanka, thus putting the new knowledge produced by this research into practice.

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List of Abbreviations

ACM	-	Administrative-Control Model/Form
ADB	-	Asian Development Bank
ADE	-	Assistant Director of Education
BCM	-	Balanced-Control Model/Form
CBSL	-	Central Bank of Sri Lanka
CCM	-	Community-Control Model/Form
CFS	-	Child-Friendly School
CFSC	-	Child-Friendly School Committee
CFSI	-	Child-Friendly Schools Initiative
DCS	-	Department of Census and Statistics, Sri Lanka
DEO	-	Divisional Education Office
DEP	-	Department of Education Publications
DoE	-	Department of Examinations
DP	-	Development Partner
DPAs	-	Development Partner Agencies
DSD	-	Divisional Secretariat Division
EEO	-	Equal educational opportunity
EFA	-	Education for All
EPF	-	Educational Production Function
ESDFP	-	Education Sector Development Framework and Programme
G5SE	-	Grade 5 Scholarship Examination
GCE/AL	-	General Certificate of Education/Advanced Level
GCE/OL	-	General Certificate of Education/Ordinary Level
GoSL	-	Government of Sri Lanka
ICT	-	Information and Communication Technology
ISAs	-	In-Service Advisors
LFSBMM	-	Learner-Friendly School-Based Management Model
LMS	-	Local Management of Schools
MDGs	-	Millennium Development Goals
MEHE	-	Ministry of Education and Higher Education
MoE	-	Ministry of Education
NEC	-	National Education Commission
NEREC	-	National Education Research and Evaluation Centre
NGOs	-	Non-Government Organisations
NIE	-	National Institute of Education
NIPFP	-	National Institute of Public Finance and Policy
OOSC	-	Out-of-Schoolchildren
PC	-	Provincial Council
PCM	-	Professional-Control Model/Form
PDE	-	Provincial Department of Education
PO	-	Policy Official
PSI	-	Programme for School Improvement
PTA	-	Parent-Teacher Association
QIs	-	Quality Inputs
SAC	-	School Attendance Committee
SBA	-	School-Based Assessment
SBM	-	School-Based Management
SBTDPs	-	School-Based Teacher Development Programmes
SC	-	School/Site Council
SDB	-	School Development Board
SDC	-	School Development Committee
SDS	-	School Development Society

SDSC	-	School Development Society Committee
SEC	-	School Evaluation Committee
SLEAS	-	Sri Lanka Education Administrative Service
SLPS	-	Sri Lanka Principals Service
SLTS	-	Sri Lanka Teachers Service
SMC	-	School Management Committee
SPC	-	School Purchasing Committee
SSA	-	School Self-Assessment
UIS	-	UNESCO Institute of Statistics
UK	-	United Kingdom
UN	-	United Nations
UNDP	-	United Nations Development Programme
UNESCO	-	United Nations Education, Science and Cultural Organisation
UNICEF	-	United Nations Children's Fund
USA	-	United States of America
WB	-	World Bank
ZDE	-	Zonal Director of Education
ZEO	-	Zonal Education Office

To my husband,
parents, and
parents in-law.

Chapter 1

Introduction

1.1 The purpose

This study explores how two different types of **School-Based Management¹ (SBM) initiatives** are practised in Sri Lankan schools with the focus on their theoretical and policy frameworks and practices. One of these initiatives is the **Programme for School Improvement (PSI)**, which is the Sri Lankan SBM model introduced in 2006 on a pilot basis and gradually expanded to all schools by 2011. The other initiative is the **Child-Friendly Schools Initiative (CFSI)** introduced by UNICEF on a pilot basis in primary schools in Sri Lanka in the early 2000s on the request of the Ministry of Education (MoE), Sri Lanka and currently being mainstreamed. The study examines the expected implications of each of these initiatives for policy and organisational practices, how these initiatives are being implemented and their emerging effects. It also examines the similarities and differences between the two initiatives and their integration when they co-exist in the same school. The study was based on the data gathered from the two main groups of actors. First, it analysed the data from the key actors on the process of initiation and the strengths and weaknesses of PSI and CFSI policies and concepts. Case studies-based data gathered from key practitioners of PSI and CFSI from six schools were analysed to explore their implementation and effects. The study points to the need for an integrated and innovative SBM approach to school development.

In Sri Lanka, PSI was intended to empower schools to improve the quality of education and thereby meet the needs of the community (MoE, 2008a) in a context where there were concerns that administration decentralisation which shifted power from national to sub-national (provincial) levels did not address the problems of the provincial schools and hence the best strategy would be to strengthen individual schools as frontline service providers (NIPFP, 2007, pp.2-5; Perera, 1998, pp.41-43) with their uniqueness and identity (NEC, 2003, p.235). These concerns gain more weight from the prevailing issues of the administrative structure of four layers between the central Ministry and schools (see Appendix 1.1: Management Structure of the Education System) in which

¹SBM is also known as school-based governance, school self-management, and school-site management (De Grauwe, 2005, p.271).

schools are governed by national and provincial policies and regulations and also by the dual management and resource allocation mechanism for national and provincial schools (see Appendix 1.2 for Education Financial Flow). Moreover, these arguments were substantiated by the findings of national assessment scores² which reveal gaps between districts and provinces in terms of resources (inputs), processes and outcomes (NEREC, 2004a; 2007; 2009; MoE, 2012). However, despite the arguments in favour of SBM, there was scepticism as to whether SBM policy in Sri Lanka can be considered a panacea for school development given the fact of its heterogeneous school system where there are not enough competent principals and schools that can mobilise parents and the community to significantly improve the quality of schools (Kataoka, 2005, pp.i-ii).

In this context, PSI was introduced as the SBM initiative of the medium-term education sector strategy, the Education Sector Development Framework and Programme (ESDFP), which was implemented during the period 2006 to 2011 and extended from 2012 to 2016. CFSI was also mainstreamed in the ESDFP from 2007. The ESDFP was intended to ensure equity of access and participation in education, improve the quality of education, enhance the equity and efficiency of resource allocation and distribution, and strengthen management and service delivery in the education system (MoE, 2007; 2012). Both PSI and CFSI, by their very nature, are intended to achieve the objectives of the ESDFP at school level by having a positive impact on the school decision-making process, school-community relations, school-based planning, and teachers' professionalism and accountability and thereby improving students' access, participation and learning.

It was against this background that the researcher developed an interest in the vital importance of investigating whether and how PSI and CFSI in combination with CFSI are making a difference in the schools in a heterogeneous school system. In Sri Lanka, *only very few studies* have been conducted so far on PSI as well as on CFSI. Further, the SBM characteristics of CFSI have not been discussed in any local research. Moreover, no research has been conducted on both PSI and CFSI when they coexist in

²Sri Lanka implements periodical national assessments to assess the learning competencies in first language, mathematics and English of Grade 4, and mathematics, science and English of Grade 8 students. These assessments are conducted by the National Education Research and Evaluation Centre (NEREC), University of Colombo, Sri Lanka. They are commissioned by the MoE and financially assisted by the World Bank.

the same school. Therefore, their positive or negative interactions have not been revealed. These issues were never studied in the Sri Lankan context and hence this study is believed to be unique. Moreover, given the current policy decision of the MoE to expand CFSI- which is already provided in the majority of primary schools³- to the whole of primary education over time (MoE, 2012), studying both PSI and CFSI would appear to be vital.

1.2 Research questions

The study has been guided by the following questions:

- a) Why was the PSI policy initiated in Sri Lanka and what were its expected implications for policy and organisational practices?
- b) In what ways is the PSI being implemented and what are its emerging effects on access, quality and efficiency?
- c) Why was CFSI introduced in Sri Lanka and what were its expected implications for policy and organisational practices?
- d) In what ways is CFSI being implemented and what are its emerging effects on access, quality and efficiency?
- e) What are the similarities and differences between PSI and CFSI in conceptualisation, implementation and effects?
- f) To what extent have schools integrated PSI and CFSI, what problems have arisen in integrating the two approaches and what makes for a better approach to SBM?

1.3 The research context

SBM is a reform adopted in many countries to empower schools. It has its origins and its theoretical underpinnings in decentralisation theory and practice, and has been a governance reform in many industrialised countries (Barrera-Orsorio et al., 2009, p.22). It is argued that schools with greater autonomy can contribute to improved quality through school-based adaptations of national policies to suit local circumstances (De

³Sri Lanka has around 3000 primary schools (Grades 1 to 5 or 1-8) and around 6000 schools with both primary and secondary stages (Grades 1-11 or 1-13).

Grauwe, 2005). SBM was also aimed at meeting the demands for quality in large and complex education systems (Rondinelli et al., 1990) and ensuring wider access and participation by disadvantaged communities (Di Gropello, 2006). It was expected to meet the different mixes of student needs that cannot be determined centrally. The critical criterion for judging its effectiveness is the extent to which it is associated with improved educational outcomes including higher levels of student achievement (Caldwell, 2005). The World Conference on Education for All (EFA) in Jomtien in 1990 emphasised the legitimate rights of children to receive equal opportunities for the acquisition of learning so as to reach their fullest potential, and also the need for revitalising partnerships between all stakeholders, specifically teachers and families, to support this endeavour (UNESCO, 1990). It appears that these emphases have also influenced the development of SBM, since in some countries SBM is predominantly aimed at achieving EFA goals and Millennium Development Goals (MDGs). Development partners have also supported SBM reforms in many developing countries (De Grauwe, 2005; Gamage, 1996).

Sri Lanka made several attempts to introduce SBM in the 1990s with the aim of reducing inequalities in the availability of resources and reducing differences in quality and achievement between schools through improving school effectiveness (GoSL, 1993; NEC, 2003). The MoE was eventually able to implement SBM in 2006 through PSI. PSI commenced as a pilot programme in one selected education zone in each province⁴ and is now being practised in all government⁵ schools. Alongside this, UNICEF introduced the CFSI in Sri Lankan schools on the request of the MoE in 2004. CFSI is being practised in selected schools and therefore co-exists with PSI in such schools. It is not primarily promoted as an SBM approach nor as an alternative to PSI. Rather it focuses on the creation of a child-friendly environment for learning. School-based decision-making and close engagement of the school community are integral in its approach. It therefore both resonates with and complements PSI in principle.

PSI is intended to change school organisational practices by introducing School Development Committees (SDCs) for collaborative decision-making, increasing

⁴In 2006, Sri Lanka had eight provinces. The number increased to nine following a court decision in 2007. There are 97 education zones within nine provinces.

⁵Sri Lanka has 9,732 government schools, 78 private schools (36 aided and 42 unaided) and around 300 international schools. PSI and CFSI were only introduced into the government schools.

community participation, promoting School Development Planning, increasing efficiency in resource use, promoting School-Based Teacher Development (SBTD) and ensuring transparency in school management. Through these mechanisms it aims to improve the overall performance of schools and the potential of students (MoE, 2005; 2008a). The philosophy and characteristics of CFSI suggest an approach designed to achieve the broad goals of child development in general and to ensure every child's right to education by securing a proactively inclusive, gender-responsive, healthy, safe and protective learning environment. In addition, it aims to improve student learning outcomes. It urges collaboration between schools, families and community through a process of school development planning that relies on School Self-Assessment (SSA) and encourages governments to formulate child-friendly policies (MoE, 2008b). CFSI also promotes SBM characteristics such as democratic participation in decision-making, planning, SBTD and efficiency in resource use (Sivagnanam, 2008, MoE, 2008b; 2012).

1.4 Research methodology and methods

The study employs a qualitative approach, using in-depth interviews with a sample of participants representing schools as well as policy-level and Development Partner Agencies (DPAs) who have played key roles in PSI and CFSI. Six schools were selected from a particular education zone in which the schools have been implementing both PSI and CFSI for a few years. The school sample covered both urban (close to a small township) and rural (village area) locations. However, there were no significant differences in the school communities since the schools were in the same district and same education zone. The selected schools are heterogeneous since they belong to various types⁶ of schools (Type 1C, Type 2 and Type 3) and have varied student populations and students from varied socio-economic backgrounds. In addition to the six school principals, six teachers and six parents involved in PSI and six teachers and six parents involved in CFSI were interviewed in their locations. In my visits to the schools, I also studied documents to corroborate the data. In order to collect policy-related data, I contacted key officials at policy level and representatives of DPAs who were involved in policy designing and/or dissemination and providing advocacy to schools. Seven policy officials covering the national, provincial and zone levels were interviewed in their

⁶Type 1C: schools with a grade span of 1-13 and with GCE AL Commerce and Arts streams; Type 2: schools with a grade span of 1-11; and Type 3: schools with a grade span of 1-5/1-8 (MoE, 2007).

locations. Focused interviews were conducted with one representative each from the World Bank (WB) (on PSI) and UNICEF (on CFSI).

Interview guides were piloted in two schools and with selected policy officials in February 2012, and the interviews were conducted during February - July 2012. For further data, participants were contacted over the telephone. The interviews were focused on the policy expectations and objectives of PSI and CFSI, the changes which these have brought about in school practices, their effects on access and student learning, and where and how these two initiatives are harmonised in the schools in actual practice in order to achieve the objectives of the schools. The findings thus help to explore a comprehensive and coherent approach to SBM by harmonising the complementary components of both PSI and CFSI.

1.5 Limitations

The study has the following limitations:

- An opportunistic sample (Bryman, 2008) of teachers and parents was selected assuming that they possess substantial knowledge of the topic under study. The sample of teachers and parents for interviews on PSI was selected from among those who held positions in the PSI School Development Committees. Similarly, a sample of teachers and parents closely associated with the CFSI-related activities was purposively selected for interviews on CFSI. The study did not accommodate the views of a larger number of school participants owing to time constraints.
- The study accommodates policy-level data only from key-officials; in other words, those who were directly involved in designing, disseminating and advising schools on the policies and concepts of PSI and CFSI. Therefore, the views of others could not be accommodated as well.
- The study did not explore the long-term effects of PSI and CFSI, such as changes in student learning outcomes as measured through scores or examination results, since both PSI and CFSI have been put into practice for only 2-4 years in the sample schools. Therefore, the study is confined to examining the emerging effects on students' access, and increased opportunities for learning.

Despite these limitations, by analysing data from six case-study schools and comparing them with policy-level data, the study was able to substantially explore the strengths and weaknesses of PSI and CFSI and make recommendations for integrating the two and mitigating the weaknesses in each one.

1.6 Structure of the thesis

This thesis is comprised of seven chapters. Following this introductory one, Chapter 2 reviews the international literature on the theoretical frameworks, concepts and principles of SBM and CFSI. It also analyses their effects on equity, quality, efficiency and school accountability.

Chapter 3 presents the methodological positioning, the samples, and methods of data collection, analysis and interpretations.

Chapter 4 analyses the policies, principles and objectives of PSI and CFSI in Sri Lanka based on the policy-level participants' views combined with a review of local literature. It sums up the similarities and differences between PSI and CFSI.

Chapter 5 analyses the views of the school-level participants on the objectives of PSI and CFSI and discusses the influences of these initiatives on key organisational practices: decision-making, community participation, planning and SBTD. In addition, it analyses data on the effects of PSI and CFSI on student access and the learning process. The data analysis is presented as six school-case studies with a common format.

Based on the case study analysis conducted in Chapter 5, Chapter 6 presents a cross-case analysis focused on the differences between schools in implementation and effects, highlighting the complementarities and contradictions of PSI and CFSI.

Chapter 7 draws conclusions and presents several important recommendations for further improvements of SBM in Sri Lanka. Finally, it proposes areas for further research.

Chapter 2

Review of Literature

2.1 Introduction

This chapter presents a review of the literature on School-Based Management (SBM) and the Child-Friendly Schools Initiative (CFSI). The second section reviews the literature on the theory, practices and effects of SBM so as to understand the broader foundations of PSI which is the Sri Lankan adaptation of SBM. The third section discusses CFSI as an SBM initiative, together with its principles, practices and effects. The fourth section concludes the chapter and presents the framework for the study.

2.2 School-Based Management

This section reviews the literature on SBM.

2.2.1 Theoretical frameworks of School-Based Management

SBM is a major contemporary reform aimed at restructuring education systems (Abu-Duhou, 1999) and building self-managing schools (Caldwell, 2004, p.3). Conceptually, SBM is viewed as

a formal alteration of governance structures, as a form of decentralization that identifies the individual school as the primary unit of improvement and relies on the redistribution of decision-making authority as the primary means through which improvements might be stimulated and sustained (Malen et al., 1990, in Abu-Duhou, 1999, p.28).

Further, SBM in a system of public education is defined as

the systematic and consistent decentralisation to the school level of authority and responsibility to make decisions on significant matters related to school operations within a centrally determined framework of goals, policies, curriculum, standards, and accountabilities (Caldwell, 2005, p.3).

Therefore, SBM originates from the theory of decentralisation, which has four forms:

- *Deconcentration*: handing over limited authority without final responsibility for decision-making
- *Delegation*: transferring management responsibilities for specific functions
- *Devolution*: strengthening sub-national units of government with a comprehensive approach to participatory democracy
- *Privatization*: transferring functions to voluntary or private organisations (Rondinelli et al., 1990; Govinda, 1997; McGinn & Welsh, 1999).

The aim of decentralisation is to ensure ‘transparent, representative, accountable and participatory systems of institutions and procedures for public decision-making’ (Cheema & Rondinelli, 1983, in Todes & Williamson, 2008, p.336), and therefore, its purpose is to ‘transfer planning, decision-making or management functions from national to sub-national levels’ (Rondinelli, 1981). SBM repositions power and responsibility to schools within a framework of centralisation and decentralisation. In general, it involves the shift of administrative powers to the school authority for the appointment and dismissal of personnel, student disciplinary and assessment policies and curriculum content and instruction. It also entails the transfer of financial resources in the form of grants to the schools (Wohlstetter et al., 1994, p.269; Montreal Economic Institute, 2007, p.1; Robinson, 2007, p.7). The success of SBM depends on the devolution of powers and responsibilities to the elected officials of the school within a legal framework (Brown, 1990, pp.37-38; Robinson, 2007, p.8), the involvement of local stakeholders in policy formulation or implementation processes (Gamage, 1996, pp.10-11) and the involvement of communities from heterogeneous groups in decision-making (McGinn & Welsh, 1999, pp.30-35).

Caldwell (2004, p.4) discusses five driving forces for SBM:

- demand for greater freedom,
- reducing cost of maintaining a large central bureaucracy,
- empowering the community,
- achieving higher levels of professionalism through the involvement of teachers in decision-making, and
- realisation that different schools have different mixes of student needs that cannot be addressed centrally.

Therefore, SBM is a meaningful change which promotes a less bureaucratic environment and provides local solutions to local problems, increases the amount of resources, and enhances school-based generation of resources and efficiency in resource use. It enables the school to be more responsible and accountable for its own improvement. Thus, it reduces control by the central office and increases ownership of the school by a local governing body. Moreover, it strengthens accountability in responding to the clients' needs. It therefore includes a change in the school's organisational behaviour (Cheng, 1996; De Grauwe, 2005; Gamage, 2008, p.665; David, 1989, in Cheng, 1996, p.44, Malen et al., 1990, in Abu-Duhou, 1999, p.28; Ross, 1990, in Abu-Duhou, 1999, p.5).

Conversely, the theoretical foundations of SBM might be challenged due to lack of synchronisation of policies when central authorities resist genuine delegation of powers to schools (de-bureaucratisation) or act in an arbitrary manner, perhaps recentralising certain powers (Govinda, 1997, pp.28-44). Moreover, SBM reforms initiated through external influences may not match context-specific realities and thus may not be owned by the beneficiaries (De Grauwe, 2004, p.5).

2.2.2 SBM in practice

The practices of SBM are centred on several major policy concerns: 'Which decisions are transferred to schools?', 'Who, at school level, receives this authority?' (De Grauwe, 2005) and as a result of SBM, how will efficiency and effectiveness of schools be improved? In line with these concerns, this section presents the features of SBM in practice, the degree of autonomy delegated to the school councils and who, at school level, makes the decisions.

2.2.2.1 Change in the locus of decision-making

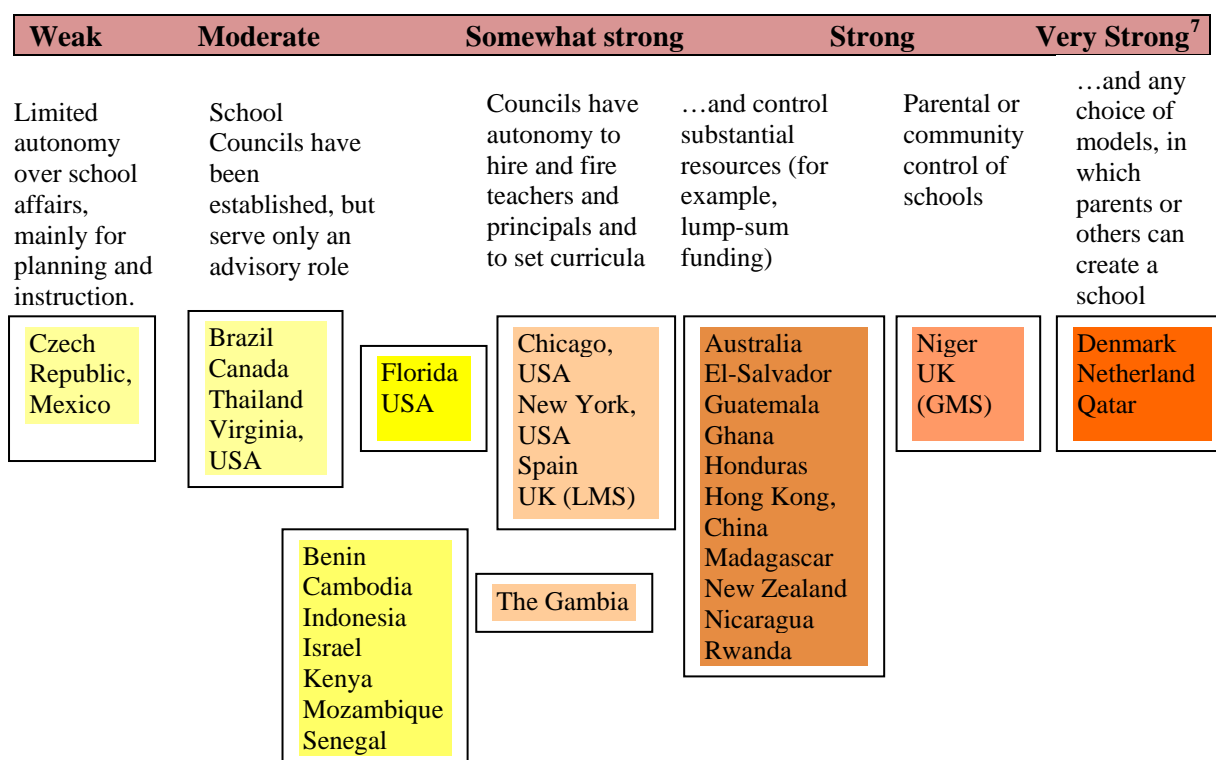
Marburger (1985, in Gamage, 1996, p.19) explains that the fundamental feature of SBM theory is the delegation of real decision-making authority - which was formerly exercised by the central/regional authorities - to the stakeholders: principal, teachers, parents, community members, and students. The second central feature of SBM theory is the School/Site Council (SC), which is the actual mechanism through which SBM is

implemented. Its third central feature is the ‘source of advocacy’ for decentralisation. This suggests the need for substantial and active endorsement of decisions at the supervisory level in order to increase transparency and fairness in decision-making. The practices of SBM differ on the variations of these three features.

2.2.2.2 Adaptations of SBM: the autonomy continuum

Commencing in the 1980s, many countries such as the UK, Australia, Canada, the USA and New Zealand instituted SBM as a governance reform while countries like Hong Kong, Uganda, Argentina, Brazil, Chile and Mexico adopted SBM policies mainly to ensure quality education country-wide (see Appendix 2.1: Country-based information). Barrera-Osorio et al. (2009, p.22) compiling from the literature, classify SBM models on a continuum based on the degree of autonomy delegated to schools from ‘weak, moderate, somewhat strong, strong and very strong’ models as shown in Figure 2.1.

Figure 2.1: Autonomy continuum: SBM reforms in various countries



Note: The UK implements two slightly different models: LMS and GMS (Grant-Maintained Schools).

⁷ These terms represent ratings in the continuum of autonomy and authority vested in schools by the various types of SBM reforms.

Among these initiatives, Hong Kong provides a specific example of its adaptation of a quality-oriented SBM model which recognises people as a valuable resource with energy, initiative power and creativity, and promotes their active participation in school management and innovations (Cheng, 1993; 1996, pp.46-48).

2.2.2.3 Forms of SBM

Leithwood & Menzies (1998), examining 83 empirical studies of SBM, identified four forms of SBM on the basis of who controls the school decision-making, namely the Administrative-Control Model/Form, Professional-Control Model/Form, Community-Control Model/Form and Balanced-Control Model/Form of SBM, which are briefly discussed below.

2.2.2.3.1 Administrative-Control Model/Form (ACM)

In this model, the school principal makes key decisions in consultation with teachers, parents, students and community members. Therefore, school principals are given authority in respect of budget, procurement of equipment and services, maintenance, personnel and curriculum. The SC plays an advisory role ensuring the 'school's accountability to the central authorities' for the efficient expenditure of resources. Therefore, this model functions on the assumption that increased efficiency will directly benefit students. Charter Schools⁸ in the USA adopt this model. However, a principal's over-emphasis on administration and negligence on the obligations of instructional leadership could restrain achievements of the school. Thus, building principals' capacity is a critical pre-requisite in this model (Leithwood & Menzies, 1998, p.328).

2.2.2.3.2 Professional-Control Model/Form (PCM)

In this model, authority is transferred to school professionals (principal and teachers) who promote the use of their expert technical knowledge in making decisions on budget, curriculum, and personnel. It encourages participatory democracy and

⁸ Charter schools are secular public schools established on a performance contract basis for the schools to be managed by a community group or by a for-profit or not-for-profit school manager (Montreal Economic Institute, 2007, p.2).

collaborative school management thus involving teachers in key functions such as goal-setting, policy-making, curriculum planning, resource provision, implementation of learning programmes and evaluation. It also provides opportunities for school-based professional development of teachers on pedagogical issues, as an essential requisite of SBM. The assumptions in this model are that professionals who are the closest to students have the best knowledge for making relevant decisions, and their active participation in decision-making will increase their commitment to implement them. This model therefore leads to increased efficiency and effectiveness. Reward systems for efficient teachers, increased access to resources and parent and community satisfaction are outcomes of PCM (Wohlstetter & Mohrman, 1994; Spinks, 1990, p.123; Leithwood & Menzies, 1998, p.329).

2.2.2.3.3 Community-Control Model/Form (CCM)

In this model, the central authorities might retain power and control over certain aspects and decentralise certain functions by delegating them to the Council. The majority of the Council members are from the community and parents. Hence they have the power to make decisions on the curriculum, budget and personnel. Therefore, their accountability in meeting consumer needs increases. This model assumes that the response of school professionals to the values and desires of the community and parents should be increased and reflected in the pedagogy. CCM evolves and gradually becomes distinctive, and thus 'school choice' becomes part of the reform in some countries (Leithwood & Menzies, 1998, pp.329-331).

2.2.2.3.4 Balanced-Control Model/Form (BCM)

In this model, the principal chairs the Council with a balanced membership of teachers, parents and government representative/s and sometimes students too. The SC is responsible for school planning, budget, management, extra-curricular activities, instruction and supervision. The model promotes collaborative decisions on curriculum, budget, and personnel and it makes better use of professionals' knowledge in decisions in order for the school to be more accountable to parents and the community. The assumption of the BCM is that the teachers will be responsive to the values and preferences of parents and the community while parents will partner the school in their

children's education. This form combines both the PCM and CCM ones (Leithwood & Menzies, 1998, pp.333-334).

However, in practice, SBM programmes demonstrate variations in the forms often deviating towards ACM (Leithwood & Menzies, 1998, p.327) or adopting a blend of all these forms (Barrera-Osorio et al., 2009, p.5).

2.2.3 Effects of SBM

This section analyses SBM from the perspectives of equity, quality, efficiency and accountability.

2.2.3.1 Effects of SBM on equity in education

In general, equity means justice and fairness in relation to opportunities. There are three main equity concerns in the education system. (i) Students' *access* to learning (at least, regardless of quality) and *progression* through the education system; (ii) educational *inputs* or *resources* measured through per-pupil expenditure (finance equity) or levels of resources (physical and teacher); and (iii) *results* (outputs) measured through completion and graduation ratios (UIS, 2007, pp.23-24). SBM addresses basic concerns of equity. Its impact on equity in *access* and *progression* can be measured through enrolment, attendance, repetition or failure rates, progression through grades and from primary to lower secondary grades at appropriate ages, retention rates and equitable opportunities for children from poorer households to learn (Caldwell, 2005, p.7; Lewin, 2007, p.21; Lewin & Akyeampong, 2009). Some quantitative research has revealed that SBM has an impact on reducing repetition rates, failure rates and drop-out rates (WB, 2008, pp.12-13).

SBM in some countries aims at achieving EFA and MDGs (De Grauwe, 2005; Gamage, 1996). For example, Central American countries such as Guatemala, El-Salvador (the EDUCO programme, after a civil war) and Honduras (PROHECO, after a disaster) through community-controlled SBM models addressed issues of access and participation in disadvantaged communities. Their Ministries of Education transferred funds to community-based organisations for the establishment, management, teacher

empowerment, pedagogical improvement and community empowerment of these models which have achieved improvements in access and participation (Di Gropello, 2006).

Equity of distribution of resources is determined by three principles: horizontal equity (treating equally those who are equally situated); vertical equity (treating students who have different needs with different levels of resources); and equal educational opportunity (EEO) (all children should have equal opportunities to succeed without being discriminated against on account of their characteristics or place of residence (UIS, 2007, pp.23-24). SBM emphasises that schools should ensure democratic participation of the communities in decision-making and arrive at more appropriate and context-specific decisions applicable to heterogeneous groups in order for them to have equal educational opportunities. Mexico's Quality Schools Programme which included a grant (PEC) to schools, provides a positive example of an equity-based SBM reform which has resulted to significantly decrease drop-out, repetition and failure rates (Skoufias & Shapiro, 2006). Moreover, SBM has promoted equity through vouchers for parents or subsidies for students, and Colombia has applied this model (McGinn & Welsh, 1999). Furthermore, community empowerment (Caldwell, 2004) and parents' participation have reduced the domination of elite groups in school-based decision-making and established a strong accountability framework (Di Gropello, 2006), thereby ensuring vertical equity and EEO.

2.2.3.2 Effects of SBM on improving the quality of education and student learning outcomes

SBM is intended to ensure the quality of education through increasing response to local needs, improving the productivity of disadvantaged groups and ensuring accountability and participation (Rondinelli, 1983). The Dakar Framework for Action (UNESCO, 2000) defined the quality of education as one which contains the following five features: healthy, well-nourished and motivated students (learners); well-trained teachers as well as adequate facilities and learning materials (environment); a relevant curriculum (content); a welcoming, safe, gender-sensitive learning environment (processes); and accurate assessment of learning (outcomes). These dimensions provide a framework for SBM which emphasises the realisation that 'different schools have different mixes of student needs that cannot be addressed centrally' (Caldwell, 2004, p.4;

cf. 2.2.1) and that these should be materialised through dynamic, diversified and individualised programmes being offered to the students.

Fullan & Watson (2000), reviewing a survey research of a sample of 800 schools (SBM) and focused case studies involving 24 schools (the combined work of Newmann & Wehlage, 1995, and Louis & Marks, 1998, in Fullan & Watson, 2000) conclude that schools with SBM which had shown high academic performance among students had (i) established professional learning communities that (ii) focused on students work/assessments and (iii) changed their instructional practices (pedagogy and social support for learning) in the classrooms. Fullan & Watson, also reviewing Bryk, et al. (1998, in Fullan & Watson, 2000, p.457) on Chicago School Reforms summarise that the schools making systemic changes have had structures which create opportunities for teachers to have a broader say in school decision-making, experiment with new roles and work collaboratively. These changes have broadened teachers' professional community, where they feel more comfortable exchanging ideas and experience a collective sense of responsibility. However, Fullan & Watson (2000, p.454) also state that some early research had critiqued SBM for being unsuccessful in changing the pedagogical practices of teachers and for the inadequate focus, by school-based decisions, on the curriculum.

Certain SBM models have contributed to quality through innovation. For example, Hong Kong's model recognises the school community as a valuable resource with energy, initiative power and creativity, and acknowledges its active participation and innovation (Cheng, 1993; 1996, pp.46-48). This model endorses dynamic social systems through the *Principle of Equifinality*, which assumes that there may be different ways to achieve the same goals (Katz & Kahn, 1978, in Cheng, 1996, p.46). It also accepts that being dynamic organisations, schools themselves immediately and effectively resolve problems, crises and difficulties in management and teaching, when central control is minimised.

Schools with SBM also need a promising and welcoming learning environment. Based on SBM research in the USA, Briggs & Wohlstetter (2003, pp.356-366) have explored eight key elements of an enabling learning environment: an active vision; a decision-making authority to bring about a meaningful change in teaching and learning; creative dispersion of power among stakeholders and working in teams; on-going

processes for developing knowledge and skills and the creation of professional learning communities; the collection and dissemination of important information among stakeholders; using rewards to acknowledge progress; shared leadership (teachers lead teaching and learning and the principal becomes a manager and facilitator); and cultivation of external resources.

Quality of education is finally measured through learning outcomes. Early research on SBM did not reveal its strong impact on learning outcomes, while lack of strong enough databases on student achievement also prevented revealing such impact. Therefore, SBM research since the late 1990s was concerned with developing strong databases for measuring the impact of SBM on learning outcomes (Caldwell, 2004). The WB (2008, pp.12-14) claims that only a small number of rigorous impact evaluations exist compared to the large number of SBM programmes in the world. It also claims that comparisons between those evaluations are difficult due to the different types of matrices used in them. Subject to these, it reports that

- SBM policies have changed the dynamics of the school either because parents become more involved or because teachers' actions have changed.
- The studies that had access to standardised test scores presented mixed evidence.

The WB, associating various pieces of research, reports that SBM reforms in the USA had shown some fundamental changes after five years and changes in test scores after eight years while Brazil made no significant changes in test scores even after 11 years of implementation of SBM. Nicaragua and Mexico had positive effects of SBM on test scores after 11 and 8 years respectively. Positive effects on repetition and failure rates were found after implementation of SBM for two years in rural Mexico and two to three years in urban Mexico (2008, p.13). Di Gropello (2006) observes that some rural Central American countries have confirmed that the trust, confidence and genuine partnerships built between schools, communities and homes within SBM have resulted in improved learning outcomes.

Moreover, international studies of student achievements (i.e. Trends in Science and Mathematics Study (TIMSS), Third International Mathematics and Science Study-Repeat (TIMSS-R), Programme for International Students Assessments (PISA), and PISA+) explore the need for a balance between centralisation and decentralisation, with a relatively strong SBM which has autonomy for local decision-making in personnel, professionalism, monitoring of learning outcomes and community relations (Caldwell, 2004, p.5). Caldwell emphasises that building the support of the community increases the social capital which refers to the strength of mutually supportive relationships among school, home, community, industry, religious and other external organisations. Caldwell further states that several case studies have shown direct and indirect links between SBM and learning outcomes. Those studies have proved that local decision-making helps learning and teaching and building the capacity of teachers to design and deliver a curriculum and pedagogy that meets the needs of students, taking account of school context-specific priorities.

In Sri Lanka, a study with PSI treatment and control groups reveals that PSI schools have performed well ‘in terms of improving the cognitive abilities of primary school students’ and that ‘better teacher and parental involvement with the children is likely to have contributed to this outcome’ (WB, 2011, p.E3).

Therefore, the existing evidence permits one to conclude that SBM contributes towards strengthening professional learning communities focused on the pedagogical practices that support student learning. It promotes collaboration between teachers, between teachers and parents, and also innovations and an enabling learning environment. Quality of education is generally measured by student learning outcomes. However, existing evidence of the impact of SBM on education quality and outcomes is mixed.

2.2.3.3 Effects of SBM on efficiency and effectiveness

The following definitions help one to understand the relationship between SBM and efficiency. Generally, in educational production function (EPF), ‘efficiency’ or ‘technical efficiency’ is used to measure links between mixes of quantities of inputs and measurable educational outputs. However, the meaning of ‘efficiency’ in economics

cannot be used in EPF due to the absence of exact causal relationships between inputs and educational outputs. Hence, 'allocative (social) efficiency' is used in EPF. Moreover, 'effectiveness', which means the coverage of intended services or 'value for money', is used to supplement the meanings of both efficiency and effectiveness in education. In addition, 'cost-efficiency' (socially optimal value of inputs) (Levačić, 1998, pp.338-339) and 'cost-effectiveness' are interchangeably used to measure efficiency in EPF. Thomas & Martin (1996, p.22, in Levačić, 1998, p.339) define 'cost effectiveness' as a concept of efficiency similar to allocative efficiency, as follows:

Effective schools are those in which pupils of all abilities achieve their full potential....if two schools which are comparable in every respect are equally effective in terms of performance, the one that uses the smaller amount of resources is the more cost-effective.

As decentralisation is driven by assumptions of efficiency (McGinn & Welsh, 1999, pp.27-29), SBM is also driven by an interest in reducing the cost of maintaining large, centralised education systems (Caldwell, 2004, p.4). SBM enhances efficiency since schools with SBM cater better for the needs of local people and reduce unit costs (Bray & Mukundan, 2003). It also promotes local partners' participation in decision-making in respect of planning priorities and resources and improves transparency (Gertler et al., 2007, p.3). It has been argued that the unique mix of the learning needs of students should be met with an appropriate mix of resources (inputs) and that this knowledge exists at the school and not at the central level. Therefore, some countries allocate formula-based 'global' budgets to schools, determined by the numbers of students in general and students with special needs in particular, and also by the location of the schools (Caldwell, 2004). For example, the SBM initiative in the UK, Local Management of Schools (LMS), is driven by the motive of increasing cost-efficiency, in which 85 per cent of the school budget (for resources and staff) is decentralised to the schools through formula funding. This system has a centralised feature, with a national curriculum, testing and examinations and informed parental choice, while LMS advocates educational outcomes-oriented, participatory school development planning with systematically identified strategic priorities. The impact of the school's decisions is assessed based on how the available funding and expenditure are related to priorities in school plans (Levačić, 1998).

Therefore, systematic identification of strategic priorities and planning the use of resources to better match the needs of beneficiaries, as well as optimal use of resources, increased monitoring and transparency are the major motives to increase efficiency. SBM schools are expected to promote these motives and provide timely and better service to the beneficiaries in order to satisfy their needs. Therefore, SBM is driven by the motive of effectiveness as well.

On the other hand, there are arguments that SBM might widen the gaps between schools and pupils of different socio-economic backgrounds when school budgets are transferred on the basis of the number of students as it might make a significant difference between large and small schools (Behrman et al., 2002). Smaller schools have higher fixed costs as well as capacity constraints, and therefore they need special treatment within the SBM reforms.

2.2.3.4 SBM: community participation

Community participation in SBM schools can be analysed from three main viewpoints: the support extended by the community and parents to the school; the schools' responsibility for delivering a better service to the community; and the issues and contradictions between school and community. It is accepted that, SBM can foster 'an improved school culture and higher-quality decisions' through effective dialogue between stakeholders and active school sub-committees (comprised of teachers and parents) undertaking various responsibilities (Wohlstetter & Mohrman, 1994). The community could support schools with skills, information and assets (human, financial and material) while schools could deliver a better service to the community (Di Gropello, 2006, p.4). Increasing involvement of the community, parents and teachers in decision-making critically correlates with learning outcomes (Caldwell, 2004, p.5; 2005). Successful SBM schools pursue such involvements through professional learning communities. The engagements and rapport built between community and school have enhanced student learning (Fullan & Watson, 2000, p.456) and when these involvements become part of the school life (culture), the quality of relationships between the school and local professionals also improves.

Moreover, complexities in school-community relations arise when the term ‘community’ is difficult to define, as schools serve distinct and geographically distant communities. In addition, these complexities exist when the relationships are top-down impositions; when children of those who cannot make contributions to the school are dissatisfied; and when the responsibilities of the parents are unclear. In some countries, socio-economic, political and social class and gender factors affect the active participation of the community and parents in school affairs. Changing ‘uni-directional relationships’ from community to school by enhancing school-community relationships and building the capacity of the community to rejuvenate collective action on their own children’s learning and for their schools’ benefit are critically felt needs. Such better practices require better understanding between schools, communities and local education authorities (Dunne et al., 2005, pp.23-32).

2.2.3.5 SBM towards increasing accountability

Increasing accountability is one of the motives of SBM. It is assumed that the genuine partnership created between parents, teachers, policy-makers and politicians through SBM helps schools to deliver high-quality learning with a higher level of commitment, motivation and accountability (WB, 2003, p.113; 2008, p.13). The four aspects of accountability defined by the WB (2008, p.13) relating to SBM include: how well citizens can hold politicians and policy-makers accountable for discharging their responsibility for providing education (*Voice*); how well the objectives of public education policy are communicated (*Compact*); the actions that create effective frontline providers (*Management*); and how well citizens can increase the accountability of schools (*Client power*). As Fullan & Watson (2000, p.461) argue that SBM reforms with its new forms of responsibilities, shift accountability to school levels, whereby accountability becomes *outward* to parents and local communities and *upward* to local or central authorities.

2.3 Child-Friendly Schools Initiative (CFSI)

This section reviews the literature on the concept of CFS, its SBM characteristics, and also its practices and effects.

2.3.1 Background of developing the concept of Child-Friendly Schools

Taking into account the fact that most children worldwide have the common experience of schooling but different children face different circumstances given the differences of facilities in schools, the varying availability of resources and teachers, and sometimes challenging home and community environments, UNICEF introduced through Child-Friendly Schools (CFS), a multidimensional concept of quality to address the total needs of the child as a learner (UNICEF, 2009a, pp.3-4). The Convention on the Rights of the Child, other human rights instruments and the Declaration of EFA, the evidence-base on the importance of schooling for disadvantaged students, initiatives of the World Health Organisation and its own interest in child-, family-, and community-centred approaches to school improvement all directed UNICEF to initiate this CFS⁹ framework in the 1990s (UNICEF, 2009b, p.1).

2.3.1.1 The principles of CFS

The principles of CFS emphasise the rights of all children to receive free and compulsory education in settings that encourage enrolment and attendance; develop the personality, talents and abilities of students to their fullest potential; respect children's human rights; respect the child's own cultural identity, language and values as well as the culture and values of the child's country; and prepare him or her to live as a free and responsible individual (UNICEF, 2009b, p.1).

UNICEF envisions CFS models as 'pathways towards quality' in education which are based on the following three inter-related, interactive and complementary principles:

Table 2.1: CFS: Core principles and their central focus

Principle	Central focus
Inclusiveness	All children have a right to education. Access to education is a duty that society fulfils for all children.
Child-centredness	Central to all decision-making is safeguarding the interests of the child.
Democratic participation	Children and those who espouse their rights should have a say in the form of their education.

(UNICEF, 2009b, pp.1-2).

⁹CFS is similarly used in this study for the CFSI and to denote Child-Friendly Schools.

Accordingly, child-friendliness underscores the place of the child and his/her holistic development within a conducive learning environment that fulfils a broad range of child rights. This approach enables all children to realise their right to learn (UNICEF, 2006).

2.3.1.2 CFS Models

CFS models evolved from the basic principles of the human right to education and child-centred ideology against a background of resource constraints and inadequate capacity for identifying ideal solutions. They also evolved from a single factor approach to a package approach, then to a project approach which reports on improvements in access, retention and learning achievements. However, the limitations of those approaches caused CFS to be shifted towards becoming system-wide interventions where UNICEF advocated countries to adopt *CFS as a comprehensive quality model* in their national plans and priorities, from the early 2000s. Consequently, by 2007, 56 countries had been practising comprehensive CFS models. The model was gradually expanded to include key components: pedagogy, health, gender sensitivity, community participation, inclusiveness, protection which incorporated concerns about water and sanitation, architectural aspects (location, design and construction), environmental issues and use of alternative sources of electric power, safety of school locations and internet connectivity (UNICEF, 2009a, pp 5-9; Appendix 2.2).

A true CFS model applies its core principles rather than establishing a fixed set of characteristics. A CFS operationalising the core principles of child-friendliness is different from an ordinary school. In such schools, the school community understands the core principles of CFS and supports children's learning and physical and emotional safety. Moreover, such schools have a set of strong conditions for learning and they produce strong academic, social and emotional learning outcomes, which are assessed at student and school levels. CFS principles are interrelated, and thus implementing one of the principles gives a thrust for other principles.

Capacity building of principals and teachers is a central requirement in CFSs (UNICEF, 2009a, pp.1-2; 2009b, pp.130-131)¹⁰. Table 2.2 elaborates the CFS model.

Table 2.2: An elaborated CFS Model with features

Dimension	Features
Inclusive and rights-based	Proactively seek Out-of-Schoolchildren (OOSC). Inclusive and welcoming for all students: develop strategies to attract children to school and facilitate their ongoing participation in a wide range of learning activities, irrespective of and acknowledging, respecting and responding to differences (gender, ethnicity, caste, ability, socio-economic status, location etc.). Policies and services encourage attendance and retention, i.e., parent-community monitoring committees.
Gender-sensitive	Promote enrolment, access to teaching/learning process, resources, learning achievement and personal development, regardless of gender; offer appropriate responses to gender-specific issues.
Effective teaching and learning	Child-centred pedagogy in which children are active participants, provided by reflective practitioners. Work to ensure that all children develop the appropriate life and livelihood skills and knowledge that will equip them for a productive role in the community.
Health and health promoting	Promote the physical and emotional health of children by addressing their key health care and nutritional needs and equipping them with adequate knowledge of these.
Safe and protective	Ensure that all children can learn in a safe and protective environment provided through appropriate architecture, services, policies and action; provide them with adequate knowledge and skills on safety and protection, considering their emotional, social and psychological health and well-being.
Community engaged and participatory	Encourage partnerships among schools, communities, families and children in all aspects of the education process including school decision-making.
Effective policies, planning, management and monitoring	Maintains the CFS vision; policies and services support fairness, non-discrimination and participation

(Aguilar, 2004, p.1; UNICEF, 2009c, p.6).

¹⁰ UNICEF (2009b): the Global Evaluation Report presents the findings of a combined evaluation of a desk review, site visits and primary data analysis of six countries (Guyana, Nicaragua, Nigeria, the Philippines, South Africa and Thailand) which includes quantitative and qualitative data collections and analysis and an online Delphi Survey of UNICEF Education Officers of all regions.

2.3.2 Child-Friendly Schools Initiative as an SBM initiative

The key characteristics of CFS which reflect similarities with SBM principles are summarised in Table 2.3 below.

Table 2.3: CFSI and SBM: relationship

CFSI characteristics (UNICEF, 2009a, pp.10-12)	Similar SBM dimensions
A consolidated CFS model promises a participatory and comprehensive approach to planning.	SBM theory emphasises participatory planning and democratic decision-making involving the community (cf. 2.2.3.3).
Strong links between schools and the community provide a consultation process for developing credible school plans (which attract UN support).	
Stronger support from the community to strengthen the processes of providing quality basic education for all children.	Quality-oriented SBM models promote innovations, child-centred pedagogy, assessments and feedback, meeting diverse learning needs and teacher-parent links for learning support (cf. 2.2.3.2; 2.2.3.4).
Focus on the well-being of the whole child, attention to different educational needs of different groups and a level-playing field for all students to achieve their full potential; attention to their health and nutrition status being addressed through the school system, attention to minimising disparities.	SBM stresses addressing students' different learning needs with different mixes of resources and ensuring equal opportunities for heterogeneous groups (cf. 2.2.1).
Conducive learning environment which minimises repetition and drop-out rates thus increasing internal efficiency within schools and education systems.	
Emphasis on inclusiveness will enable countries to tap and harness the full potential of their human resources.	SBM drives schools and communities to improve student learning outcomes and ensure achievement of their full-potential (cf. 2.2.3.2).
Child-centred, gender-sensitive pedagogy which is likely to produce independent thinkers, job creators, entrepreneurs and contributors to participatory democracy.	
Child-centred pedagogy which improves teachers' professional status as facilitators of learning, custodians of children's well-being and as empowered contributors in school management and school-community links.	SBM promotes teachers' involvement and voice in decision-making, school-based professional learning communities and teacher-parent collaboration for improving student learning in school and at home (cf. 2.2.2.3.2).

The implementation of CFS is dynamic and context-bound and hence needs to be supported with SBM processes. Aguilar (2004) points out that CFSI elaborates on decentralised SBM which

- (i) brings decision-making to where decisions can make a real difference,
- (ii) encourages local innovations,
- (iii) increases the relevance and flexibility of education to local conditions and needs,
- (iv) increases accountability for the quality of education provided through the school,
- (v) stimulates participation and a sense of ownership among its stakeholders and generates strong local demand and more resources for education (pp.1-2).

Therefore, CFSI also promotes school-based governance and its principles, democratic participation, child-centredness and inclusiveness, and complements SBM which is also underpinned by the principles of equity, quality and efficiency. CFSs could be set up anywhere, even in the poorest communities, given that the supportive elements are present as they are flexible, adaptable and driven by its broader principles (UNICEF, 2009a). Therefore, school professionals (principals and teachers) have an obligation to understand and operationalise CFS principles and such a comprehensive approach needs integrated and decentralised SBM. A comparison between SBM and CFS highlights several differences as well. Similarly to SBM, democracy in participation is a core principle of CFS. However, CFS does not promote a permanent school decision-making body similar to the SC (cf. 2.2.2.1). CFS only advocates a teacher-parent monitoring committee. In addition, the intentions and the models of SBM in different places vary (cf. 2.2.2.3) whereas CFS does not have such varied models. However, both CFS and SBM are evolving models, and both are driven by the intention to improve the quality of education. Moreover, CFS seriously intends to achieve equity and inclusiveness while SBM stresses increasing resources and efficiency in resource use. CFS's core-principle of child-centredness is a complementary principle to that of SBM if they both exist together in one school.

2.3.3 CFS in Practice in other developing countries

CFS in practice will indicate the following pre-conditions:

Table 2.4: Prerequisites for practising CFSI principles

Principle	Essential pre-conditions
Child-centredness	<ul style="list-style-type: none"> • The school staff prioritises children's physical and mental health, physical and emotional safety, and overall well-being. • Relationships among students and staff are caring, positive and respectful. • Students are actively engaged in the learning process through teachers' use of child-centred pedagogical techniques and eliciting students' active participation.
Democratic participation	<ul style="list-style-type: none"> • There are high-levels of family and community participation. • Students are actively engaged in school activities and decision-making and their roles in decision-making are formalized through student governments or councils.
Inclusiveness	<ul style="list-style-type: none"> • The school environment is welcoming for all children and families. • School leadership and teachers recognize that students have different learning styles and needs and accommodate those needs.

(UNICEF, 2009b, p.128).

In a number of countries in Central and Eastern Europe and the Commonwealth of Independent States, the concept of Global Education has been integrated into CFSI. Egypt implemented the community schools model with CFSI emphasising gender equity, teaching processes and community participation. In India, after the Gujarat earthquake, CFSI was applied in emergencies to restore primary education. Bolivia, Colombia, Guyana, Honduras and Nicaragua have used the CFS framework with the goal of promoting inclusive quality education for all. Countries in the East Asia and Pacific regions have also been applying CFSI since the 1990s. For example, in the Philippines, schools are part of wider child-friendly communities. In Eastern, Southern and West African countries, child-friendly and girl-friendly schools are being promoted (cf. Appendix 2.3 for country-based details). Partnerships in CFSI between UNICEF and other development partners such as the World Food Programme, the UK Department for International Development and Non-Governmental Organisations (NGOs) have been a common characteristic in many countries (UNICEF, 2009a, p.18).

2.3.4 Effects of CFSI

This section reviews the effects of CFSI on inclusiveness, child-centredness and democratic participation.

2.3.4.1 Effects on inclusiveness

Based on a global evaluation inclusive of visits to six countries (Nigeria, South Africa, Thailand, Philippines, Guyana, Nicaragua), UNICEF (2009b) has found promising results even though there are variations among countries and schools. School heads, teachers and parents of many schools implementing CFS are committed to inclusiveness and encourage and support students regardless of gender or background. These schools attempt to identify OOSC and support their retention. In five of the six countries, students feel physically and emotionally safe. However, a significant percentage explored the need for improvement. Regarding the school climate, schools have policies and conditions in place. However, many schools were struggling to provide buildings and facilities especially for those with disabilities. Parents and community participation was significant. However, school heads and teachers had identified obstacles in gender inclusiveness and equality.

2.3.4.2 Effects on child-centredness: learning environment and support for children

Most of the countries had met the minimum physical standards for providing a safe and comfortable environment conducive to learning. There were structurally sound buildings with sufficiently ventilated classrooms and free from risks such as toxic materials. The majority of children had stated they felt safe and protected and were supported by adults. Most of the schools provided safe drinking water and sanitary facilities but some struggled to provide basic needs such as a regular supply of drinking water. All the countries had school feeding programmes as a key service to promote inclusion and student engagement in learning. Nearly all the schools provided health education. However, a considerable percentage of schools in many countries faced challenges in fully achieving a safe and protective learning environment (UNICEF, 2009b).

2.3.4.3 Child centredness: child-centred teaching and learning

All the countries studied had shown promising practices of child-centred teaching and learning with teachers using child-centred instructional techniques and creating an environment that encouraged trust and respect. Teachers understood the fundamentals of the CFS model. However, traditional but effective teaching practices were also prevalent. Success in meeting teachers' professional development was mixed and there were shortages of trained teachers, which suggested the need for both pre-service and in-service teacher education opportunities (UNICEF, 2009b).

2.3.4.4 Democratic participation

Student and parent involvement was high in many of the schools surveyed in the UNICEF report. Student involvement through organisations (student governments), fund raising, beautifying and peer tutoring were also considerably high. Parents were heavily involved in providing home-learning support for children and generating resources for CFSs. Parents' participation in decision-making was significant. However, parents' poverty and illiteracy and the negative judgements of school authorities over parents based on their educational background were evidently challenging the democratic participation of parents. Parents had provided free labour and materials, thereby reducing the costs of school construction projects, while mothers had provided support largely by cooking nutritious meals for students at their schools (UNICEF, 2009b).

2.4 Conclusions

The chapter first reviewed the theoretical frameworks and practices of SBM, including the decision-making structure and forms and effects of SBM as the foundation to PSI in Sri Lanka. The effects of SBM on equity, quality and student learning outcomes, efficiency and effectiveness, community participation and accountability were reviewed. Second, it reviewed the principles and models of CFSI, its SBM characteristics, practices elsewhere and effects.

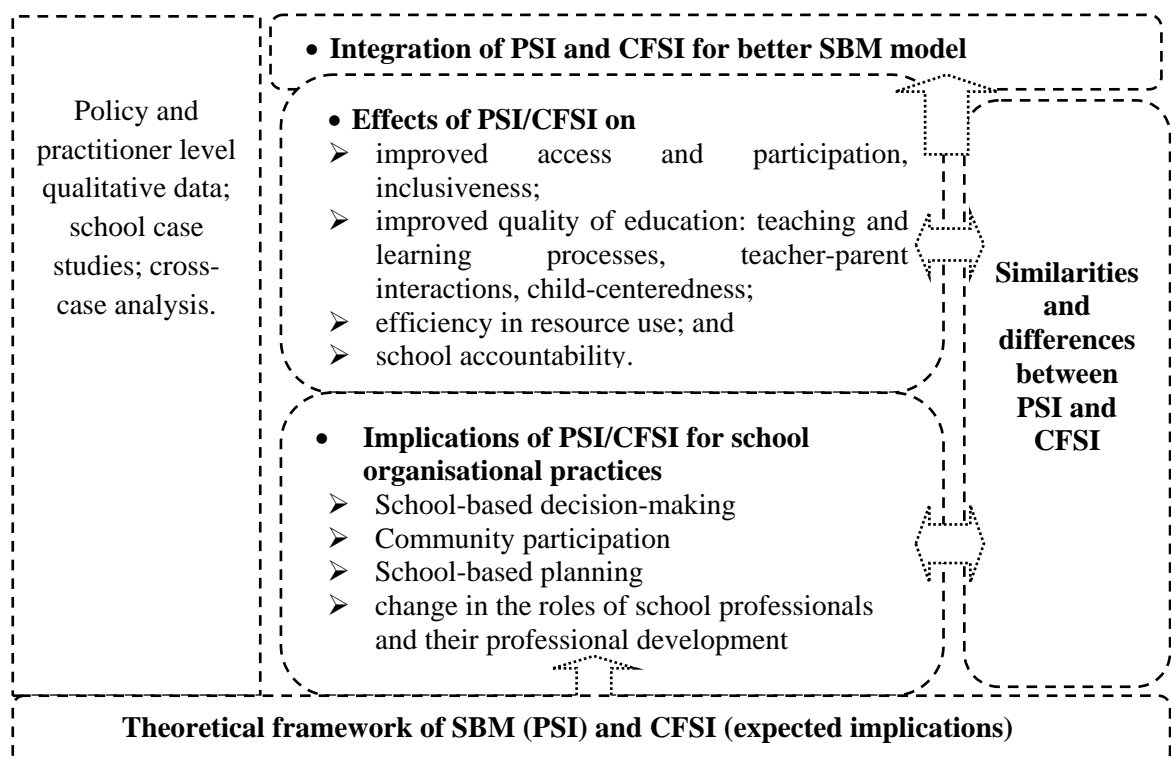
The literature reveals that SBM is grounded on the decentralisation theory and driven by the arguments for empowerment of schools and communities, diversification

of learning opportunities and improvement of the professionalism of teachers. CFSI is driven by the arguments for ensuring the rights of children to education and framed with three core principles: inclusiveness, child-centredness and democratic participation. Central to SBM in practice is a SC which ensures democratic decision-making. CFS does not promote such a separate decision-making body but it emphasises that the school community should understand the core principles and act appropriately to fully realise those principles. Management models and practices of SBM differ according to the degree of autonomy delegated to the school. Quantitative and qualitative research discloses that SBM takes time to produce changes in student learning outcomes but has yielded positive intermediate effects. However, the results of SBM are mixed and varied in different contexts. Because of the paucity of previous research in this area, this study depended on a global evaluation report of CFS and found that the effects of CFSI are also mixed: whereas many schools progressing with CFSI, some are struggling to create the conditions required for CFS.

2.4.1 A framework for the study

The literature review suggests the following framework for the study.

Figure 2.2: Framework for the study



Chapter 3

Methodology of the Research

3.1 Introduction

This chapter presents the methodology of this study. The second section describes the research design with philosophical foundations, qualitative research approach, case study approach and the research methods. The third section presents the sample and method of selection of participants. The fourth section describes the data analysis methods. The fifth section discusses the reliability and validity of data, methodological limitations and ethics. The final section is a summing up.

3.2 Research strategy and design

This section describes the research design of the study.

3.2.1 Philosophical foundations

It is accepted that the Sri Lankan schools implement SBM initiatives (PSI and CFSI) following the guidelines stipulated in circulars and the recommendations of the Ministry of Education, thus fulfilling an official requirement. Therefore, people who are involved in the implementation processes may not be able to interpret these initiatives from their own cognition independent of the prior knowledge acquired through pre-defined objectives, regulations and procedures. In this context, I assume that people's interpretations of the social realities of the phenomenon under study may not be purely subjective.

However, initiatives like PSI and CFSI could have contextual differences in their implementation, given the facts that schools are social systems and the education system in Sri Lanka is heterogeneous. In particular, an exploration into the implications of these initiatives for organisational practices and their effects, based on the interpretations of people involved in related processes, could include subjective explanations, critiques and experiences. As Bryman (2008) states, social phenomena and their meanings are produced and constantly revised through social interactions and are continually being

accomplished by social actors (pp.18-21). Accordingly, people's interpretations might be continuously revised as they gain new experiences. On these grounds, the interpretations of participants of this study could be considered as relative to the individual (knower) and substantially subjective and thus the knowledge gained from the study is socially constructed. Therefore, my ontological premises are close to constructionism (or constructivism).

My research questions are addressed mainly on the basis of participants' interpretations of their experience gained from substantial engagements in related processes. These interpretations were gathered through detailed interviews. Explanatory accounts were developed on the basis of these interview data. They were then placed in a framework to analyse the initiation, implementation and effects of PSI and CFSI. Within this framework, I derived rational meanings from the participants' interpretations thus ensuring a second-level of interpretations. These interpretations were further discussed in terms of the concepts of equity, quality and efficiency with my interpretations; hence there was a third-level of interpretations. Therefore, epistemologically I worked with an interpretative stance (Burrell & Morgan, 1979, pp.28-32; Bryman, 2008, pp.16-17).

3.2.2 Qualitative research approach

Creswell (2009, p.4) states that

Qualitative research is a means for exploring and understanding the meaning individuals or groups ascribe to a social or human problem. The process of research involves emerging questions and procedures, data typically collected in the participant's setting, data analysis inductively building from particulars to general themes, and the researcher making interpretations of the meaning of the data.

This view is further explained by Denzin & Lincoln (2008, p.4) as follows.

Qualitative research is a situated activity that locates the observer in the world. It consists of a set of interpretive, material practices that make the world visible. These practices transform the world. They turn the world into a series of representations, including field notes, interviews, conversations, photographs, recordings, and memos to the self. At this level, qualitative research involves an interpretive, naturalistic approach to the world. This means that qualitative

researchers study things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them.

These views provided a foundation for adopting a qualitative approach for the present study, using a conversational approach to interviews with policy-level officials and implementers in their own work places to explore the realities of policy-making, initiation, implementation and emerging effects of PSI and CFSI. Education policy is a social field which involves national organisations and schools. The implementation of such policies is context-bound, thus the knowledge about it, is not independent of the people in the context. Therefore, the ‘personal and historical experiences’ (Creswell, 2009, pp.8-13) and perspectives of the key actors are vitally important in exploring a realistic understanding about the relationship between intended policy objectives and what actually happens, and to examine such policies in terms of their relevance in solving problems on the ground (Blackmore & Lauder, 2011, pp.191-194).

Qualitative research emphasise the socially constructed nature of reality and the close relationship between the researcher and the researched and the situational constraints (Denzin & Lincoln, 2008, pp.10-17). They are also attuned to the unfolding of events over time and to the inter-connections between the actions of participants in a social setting (Bryman, 2008, p.394). Therefore, the qualitative research approach, with detailed interviews focused on processes, is appropriate to enable the researcher to come closer to and understand the specifics of the research contexts. In contrast, the quantitative researchers prefer to be uninvolved, considering that objectivity might be compromised otherwise (Bryman, 2008, p.393).

More importantly, this study fills a gap in qualitative studies in this field and informs the policy-designers and implementers on how the processes of PSI and CFSI could be strengthened in order to achieve long-term objectives of education, especially through a combination of these initiatives. Quantitative research which ‘make[s] associations between factors’ (Blackmore & Lauder, 2011, p.194) through statistical inferences is considered incapable of revealing such a holistic and practical understanding of context-bound realities. Therefore, despite criticisms of qualitative research being subjective (Bryman, 2008, p.391) this study uses those subjective

interpretations of participants to create a holistic and a deeper understanding of the policy, practices and effects of the SBM initiatives.

This is the approach that was followed in this study: the expected implications of PSI and CFSI for policy were thoroughly discussed with the key actors at policy-level in order to understand the background of policy design, policy expectations and problematic moments in the processes. The status of implementation of PSI and CFSI, and the similarities, differences and inter-dependencies between them were explored through conversational interviews with practitioners (principals, teachers) and beneficiaries (parents) from selected schools where both initiatives have co-existed for a certain period of time. The individual experiences, meanings and interpretations they revealed were built from particular to general themes in the case-studies, cross-case analysis and conclusions, using explanatory notes of personal experiences of those actors. Therefore, this study relies on the meaning of the participants' actions. The quantitative arguments over 'researchers' unsystematic views about what are significant' (Bryman, 2008, p.391) were not pertinent to this study as its data contributed to adding a new model and concept to SBM policy initiatives. Although 'generalisation of the findings of this study' (Bryman, 2008, p.392) would not be possible, the findings could substantially contribute to the national policies and to the school contexts similar to the sample of this study.

Serving in the area of policy and educational planning at national level, I was contributing extensively to planning the medium-term strategic plan, the ESDFP (2006-2011; 2012-2016) (see 1.1) and hence, I was involved in policy-level dialogues at the initiation of PSI, in periodical reviews of both PSI and CFSI and in discussions in planning both these initiatives, and hence was aware of the objectives, expansion and status of their implementation. However, I did not participate in dissemination discourses or in implementation of these initiatives similarly to policy- or practitioner-level participants of this study. Therefore, I would define myself an insider, although in certain phases, an outsider. Understanding the need to avoid the impact of my position and my presence as the researcher, I attempted to be 'reflexive and self-conscious' (Finlay, 2003, pp.16-17), but at the same time I accept the fact that in this interpretive inquiry, as a practitioner researcher, I was not able to totally isolate my interpretations

from what I understood, heard and saw in my own professional backgrounds, history, contexts, and prior understandings (Creswell, 2009, pp.174-5).

Subject to the above context, importantly, I experienced that ‘new knowledge’ is being constructed not only ‘at the end of the thesis’, but also during the research process, at all stages of the research, from conceptualisation through methodology, methods and empirical work, data analysis to completing the writing up of the thesis (Drake & Heath, 2011, pp.15-16). In a way, it was a transformation of professional knowledge into an academic knowledge production discourse, because, for example, I developed my interview guides greatly based on the literature review, but I cannot guarantee that their contents and organisation, which largely helped developing thematic analysis of key management practices (in Chapters 4, 5 and 6) did not underpin my professional experiences. This structure helped in discussing key management practices and changes, comprehensively comparing policies and practices of PSI and CFSI and finally enabled me to identify complementarities between the two initiatives and also to organise the thesis systematically.

3.2.3 Case study approach

According to Stake (1995, in Creswell, 2009, p.13),

Case-studies are a strategy of inquiry in which the researcher explores in depth a program, event, activity, process, or one or more individuals. Cases are bounded by time and activity, and researchers collect detailed information using a variety of data collection procedures over a sustained period of time.

Stake (1995, p.2) explains that a child, a teacher, a school or an innovative programme can be a case and in the social sciences, a case has a boundary and working parts; it is likely to be purposive and can have a self. So, a case is an integrated system though its parts might not be working well and its purposes irrational. Therefore, both people and programmes clearly are cases. According to Flick (2010, p.134), persons, social communities, organisations and institutions can be the subjects of a case analysis. Further, Ragin (1992, pp.1-6) argues that social phenomena with processes specific to time and place, with parallel and event sequences and with generic macro social processes can be conceived as cases. Moreover, Ragin emphasises that researchers

perhaps realise what the nature of the case is when the research and its writing up are virtually completed, and all the evidence and ideas are brought together.

The main strategy of inquiry of this study was parallel case studies. Informed by the above definitions, the case study approach was adopted from several dimensions. The policy designing and dissemination processes of each SBM initiative were two distinct processes which involved specific actors from macro (national) and meso (provincial, zonal) levels (Drake & Heath, 2011), and specific to time and event sequences. Those specific actors were interviewed in order to explore the policy development and dissemination processes. For exploring the implementation, emerging effects, similarities and differences, and integration of PSI and CFSI, the study depended on six school case-studies, gathering data from school-level key actors: the principals and the teachers and parents who had been critically engaged in each of the SBM initiative. The purpose was not to study the persons and locations in particular but to study SBM initiatives with only limited consideration for contexts (national, provincial and zone level organisations and school types) which is essential in order to describe the processes (Stake, 1995, p.64).

As Stake (1995, pp.3-4) describes, some case-study research deals with a particular case when there is no interest in studying other cases or a general problem. Another type of case studies aims at gaining an insight into a research problem by studying a particular case and hence case study here is an instrument of research. Also, certain case studies are designed to study several cases instead of one and, hence are collective case studies, while each of them is instrumental in learning about the research problem. If the present study was based on a single case study, it would explore the issue under discussion in-depth in a particular school but it will have limitations where the heterogeneity of schools is concerned. Therefore, as Stake (1995, pp.3-12) advocates, this study used an '*instrumental*' and '*collective*' case study design to study the two initiatives comprehensively in six schools, which varied in regard to school type and location, using people's interpretations of their complex experiences of the changes which the two SBM initiatives brought about in their organisations. The purpose was to learn as much as possible whether and how PSI and CFSI are making differences in different schools in a heterogeneous school system where PSI is being implemented in all 9,732 schools and CFSI is being implemented in 1,400 schools while there had been

debate on the success of SBM in such a system with variations in capacities (see 1.1). It could be argued that these multi-site case studies will explore the issues in breadth rather than in depth. However, I attempted to engage with and report the complexity of the issue under study (Chadderton & Torrance, 2011, pp.53-54) using a range of research methods (in-depth and structured interviews, observations and documentary analysis) and the perspectives of a range of individuals representing policy and practitioner levels (nine policy-level and 30 school-level respondents). Accordingly, I focused on exploring the case of SBM initiatives in breadth as well as in depth. I accept the fact that the claims made in this research could have been influenced by my personal and professional experience and claims of other researchers.

3.2.4 Data collection methods

Flick (2002 in Denzin & Lincoln, 2008, p.7) states that ‘qualitative research is inherently multi-method in focus. He also states that the use of multi-methods ensures triangulation, protects an in-depth understanding of the phenomenon in question and adds rigour, breadth, complexity, richness, and depth to an inquiry. Accordingly, I employed interviews as the principal method and documentary reviews and observations to supplement the interview data.

3.2.4.1 Interviews

Guided by the research questions, literature review, philosophical foundations and my own professional experience I prepared semi-structured interview guides for interviewing participants. This pre-preparedness was extremely useful in collecting essential data from a number of participants, to have an insight into data analysis and to be clearly focused on the purpose of the study (Bryman, 2008, pp.439-440; Kvale & Brinkmann, 2009, p.190). These guides (see Appendix 3.1) also helped in deciding the structure for data analysis and the cross-case comparison of the school case-studies. The pilot interviews which I had with two policy officials (i.e. PO3 and PO6, see Table 3.2), the principal and two teachers of a school (i.e. Type2/rural school, see Table 3.1) and the principal, two teachers and three parents of another school (i.e. Type2/urban school, see Table 3.1) helped to improve the guides.

Kvale & Brinkmann (2009, pp.17-18) state that

interviewing is an active process where interviewer and interviewee through their relationship produce knowledge. Interview knowledge is produced in a conversational relation; it is contextual, linguistic, narrative, and pragmatic.

I conducted interviews attempting to maintain close relationships and interpersonal dynamics between my participants and myself, while also being reasonably critical in obtaining relevant data. Practically all the interviews were converted into in-depth, more conversational, qualitative ones, since semi-structured questions were combined with cognitive-based, broad and open-ended, un-structured, situational questions (Bryman, 2008, p.438). In them, I was a partner and active listener and I felt that they were enriched by my professional experience and ‘experiential learning’ too. In fact, they helped me to acquire ‘tacit knowledge’ in the research context (Drake & Heath, 2011, p.15). For example, to reveal the reasons for the initiation of SBM initiatives, I had to converse on the critical moments of the process of policy-development over time. Further, when certain complementarities between PSI and CFSI were revealed, I entered into in-depth discussions with school-level participants on how exactly these were being practised in the schools, despite the fact that such complementarities had never been advocated. I was careful to not bring in my own views or written evidence in the interviews, and I attempted to learn the meanings that my participants held about various issues of the topic. Therefore, on the whole, my ‘interpretivist stance’ (Bryman, 2008, pp.15-17) persuaded me to gather meanings and interpretations that flowed from my participants’ experiences, making the nature of knowledge created through this study ‘more subjective and experience- and insight-based’ (Burrell & Morgan, 1979, p.1). However, a very few interviews were found to be not very informative, and those were due to participants’ inadequate exposure to the issues under study.

Since I myself conducted all the interviews, I kept the objectives and questions in mind and found that the rate of return was higher in the interviews than in a survey using questionnaires. Interviews with policy- and school-level participants were conducted in their own workplaces while interviews with parents were also conducted in the respective schools. I found interviewing was a challenging task since they required me to be knowledgeable about theories, concepts, policies and guidelines as well as an expert in communication and interaction. Sometimes, I had to raise questions differently

and with clarifications for some participants in order to obtain their views on particular issues. Those challenges were well received, since my intention was to learn about the problem to the maximum. Therefore, I adopted the ‘traveller’ approach (Kvale & Brinkmann, 2009, p.49), which ensures that the knowledge created by this study is socially constructed and ‘thus owned by me as well as by the participants’ (Creswell, 2009, pp.8-9, Kvale & Brinkmann, 2009, p.28, pp.54-55).

In my sequence, I first conducted in-depth interviews with school-level participants and subsequently with policy officials at zone, province and national level. The interviews with Development Partner Agency Representatives (DPAs) were highly focused on how they contributed to the policy and implementation processes. The number of visits I made to each research location ranged from one to three. I conducted five interviews in each school. Interviews ranged from 45 minutes to nearly two hours. Data from some participants were collected on two different days. All participants participated willingly and enthusiastically and I felt they were happy to share their experience and opinions. Some policy-level participants claimed that the interviews helped them to look at the subject in an analytical manner; for example, zone-level official interviewed on CFSI appreciated the opportunity the interview gave him to reflect upon the strengths and weaknesses of his own work. Some of them were exceptionally helpful and provided even subsequent clarifications on certain important matters. Many school participants considered that their participation in this research added a rich experience to them. With all these experiences, I feel that I received their ‘genuine responses’ (Denzin & Lincoln, 2008, p.381) and that these improved the quality of this study. In order to further enhance the quality and to verify the data, I shared the draft analysis with participants.

3.2.4.2 Document review

In this study, I reviewed MoE circulars and reports, aide-memoires and documents of the WB and UNICEF to enrich the analysis on the implications of PSI and CFSI for policy (Chapter 4) and analysed school plans, SDC minutes and reports to corroborate the interview data of school case-studies (Chapter 5).

3.2.5 Methodological relationship to evaluation research

Patton (1990) explains that qualitative evaluations help achieve understanding through direct interactions with individuals from the real programme world where the changes occur in a complex way. Qualitative evaluations help search the totality - the unique nature of particular settings - in contrast to the quantitative evaluations which may oversimplify the complications by missing important factors and thus failing to portray a programme and its impact as a whole. Moreover, Patton argues that the closeness does not create a bias, while distance does not always guarantee objectivity (pp.47-48). He argues that qualitative evaluations in case studies which give only a few examples of the phenomenon in question could still yield rich information. They help the researcher to understand what is going on and how to improve a particular programme (p.54). He also argues that qualitative case studies help decision-makers to understand variations in programme implementation and outcomes (pp.102-104). Further, Patton (1990), in describing a study of the national teacher centre programmes, argues that national programmes vary considerably in implementation and outcomes and that these variations cannot be captured fully by standardised scales (p.102).

This study involved an inquiry into reasons for the initiation of two SBM initiatives (PSI and CFSI), variations in implementation practices of those initiatives, emerging effects, and hence what actually occurs in the schools (in the selected sample). The conclusions of the study point to further improvement the decision-making processes in these initiatives. Thus the approach to the data collection and analysis of the study is characterised by a qualitative evaluation.

3.3 Sampling: selection of participants and school case-study research locations

This section explains the context and selection of research locations, representative organisations and participants, and the justification for selections. Pseudonyms are used to distinguish the various participants in order to secure participants' confidentiality.

3.3.1 Selection of organisations and school case-study research locations

Sri Lanka is a multi-ethnic and multi-cultural South Asian country with 20.26 million people. Ethnically, it has 74.9 per cent Sinhalese, 11.2 per cent Sri Lanka Tamils, 4.2 per cent Indian Tamils, 9.2 per cent Muslims and 0.5 per cent of others. By religion, it is made up of 70.2 per cent Buddhist, 12.6 per cent Hindu, 9.7 per cent Islam, 6.1 per cent Roman Catholic and 1.3 per cent other Christian denomination (DCS, 2012). Sri Lanka has nine administrative provinces. However, there are variations among provinces in socio-economic standards such as income (population below the poverty line), literacy and education levels (CBSL, 2011; DCS 2011) (see 4.2 for further details).

The country fought a long-drawn-out war which started in the mid-1980s, was described as an ethnic conflict on the one hand and as a war against terrorism on the other hand, and as a result of which the country lagged behind in economic and social development (MoE, 2007). Despite all the difficulties, however, education services such as the provision of textbooks, uniform materials, school meals, school buildings and teachers were ensured in the Northern and Eastern Provinces which were affected by conflict. Peace education and social cohesion programmes were also promoted in all schools (MoE, 2012). The war ended in 2009.

The present study was conducted in 2012. PSI and CFSI were introduced to all nine provinces during 2006-2011. These initiatives were designed by the MoE and the National Institute of Education (NIE). The WB and UNICEF assisted the MoE to implement PSI and CFSI respectively. Hence, policy-level data was collected from selected key informants from the MoE, NIE, the WB and UNICEF.

The practice-related data was gathered from six purposively selected schools. The determining factor considered in selecting the six school case-study research locations was the co-existence of both PSI and CFSI in those schools for a reasonable period of time. PSI and CFSI were introduced to schools as two distinctive initiatives. Hence, analysing data from all 97 education zones in Sri Lanka, two of the zones were identified as having had a considerable number of schools with both PSI and CFSI for a reasonable period of time. Considering the relative convenience of travelling, one of these two zones, namely, the *Ranke* Education Zone was purposively selected for the

study. All 67 schools of *Ranke Zone* had been practising PSI since 2008-2009 and 32 out-of 67 schools had been practising CFSI since 2009-2010. The *Ranke Zone* belongs to the *Senrock* Province (see Appendix 3.2 for the map). The *Senrock* province has 15 education zones scattered over three districts and the *Ranke Zone* is one of the 5 education zones in the district located in the south of the *Senrock* Province. Since the Provincial Departments of Education (PDEs) and Zonal Education Offices (ZEOs) contributed significantly to disseminating and introducing PSI and CFSI to the schools, data was gathered from the key informants of the PDE, the *Senrock* Province and the ZEO, the *Ranke Zone* for the study.

The *Senrock* Province is located in the middle part of the country (See Appendix 3.2 for the map) and it was not affected by the aforementioned conflict. This particular province has a significant multi-ethnic composition compared to other provinces: 65.9 per cent Sinhalese, 5 per cent Sri Lankan Tamils, 18.8 per cent Indian Tamils, 9.8 per cent Muslims and 0.3 per cent others. In terms of religion, there are 65 per cent Buddhists, 21 per cent Hindus, 10.3 per cent Islam, 2.4 per cent Roman Catholics and 1.1 per cent other Christians. In terms of the percentage of Tamils, the *Senrock* Province (or, hereinafter, 'the Province') remains at third highest level, which could be attributed to its plantation¹¹ sector population (DCS, 2012).

Six case-study schools were purposively selected from the *Ranke Zone*. Altogether, the *Ranke Zone* has five Type 1AB, nine Type 1C, 27 Type 2 and 26 Type 3 schools. Three schools representing each of the types 1C, 2 and 3 (see Appendix 1.1 for school classification) which are located by main roads and in small townships were selected in order to study comparative urban schools (*Mathura* -Type 1C; *Chitra* - Type 2; and *Diyape* - Type3). They have a pleasant environment with basic facilities, physical resources, human resources and access through public transport at a better level than those of their counterpart schools which were selected in order to study rural schools. These counterpart schools have comparatively fewer facilities and resources and are located by secondary roads and in rural areas (*Pabala* - Type1C; *Ariya* - Type2; and *Manura* -Type3) (see Appendix 3.2 for the location map). Apart from these location-specific differences, there were no significant differences between the socio-economic

¹¹ Plantation sector mainly comprises the workers in tea, rubber and coconut plantations. The majority of the population comprises of Indian Tamils.

status of these six school communities. However, the vast majority of parents of the three rural schools comprise farmers in contrast to the three urban schools which have some parents serving in the government or private sector or running businesses.

For the purpose of selecting six schools representing the said types and urban/rural locations, certain secondary data, obtained from *Ranke Zone* was used and subsequently, the views of the policy-officials of the *Ranke Zone* were considered. This secondary data was: student populations; school classifications on the access, facilities of the area, availability of teachers and physical resources; and results of Grade 5 Scholarship Examination (G5SE), General Certificate of Education/Ordinary Level (GCE/OL) and General Certificate of Education/Advanced Level (GCE/AL).

In terms of the medium, the *Ranke Zone* (or, hereinafter 'the Zone') has 55 Sinhala-medium and 12 Tamil-medium schools. It has five Type 1AB schools (Sinhala-medium) (see Appendix 1.1 for definition). However, they were not selected for this study since they were exceptional, with a large student population, more resources and greater parental participation compared to the schools of other types. Among Type 1C schools, there are seven Sinhala-medium and two Tamil-medium schools. Type 2 schools consist of 22 Sinhala-medium and five Tamil-medium schools. Type 3 schools include 22 Sinhala-medium and five Tamil-medium schools. All six schools were selected for the study from among Sinhala-medium schools (representing Types 1C, 2 and 3), taking into consideration the convenience of conducting interviews by myself in the Sinhala language, which ensured the quality of data. Otherwise, if Tamil-medium schools had been included, I would have had to depend on a Tamil translator. However, this absence of Tamil-medium schools is regarded as a limitation of the study.

The six case-study schools, the zone, the province and the national-level organisations from which data was gathered for this study were therefore selected purposively, based on the specific requirements, and thus the sample of six schools, the zone or the province are not representative. Hence, an extensive discussion on the general context of Sri Lanka and its various dimensions or variations between provinces and zones was not included. With the said limitations, these six schools were expected to 'do a better job than others' as they ensured 'balance and variety in the collective case

studies' (Stake, 1995, pp.4-6) where the topic under study is concerned. Details of the school sample, under their pseudonyms, are given in Table 3.1.

Table 3.1: Key characteristics of case-study schools

Characteristic	<i>Mathura</i>	<i>Pabala</i>	<i>Chitra</i>	<i>Ariya</i>	<i>Diyape</i>	<i>Manura</i>
School Type and Grade Span	1C (1-13)	1C (1-13)	Type 2 (1-11)	Type 2(1-11)	Type 3(1-5)	Type 3(1-8)
Comparatively Urban/Rural location	Urban, by main road	Rural, by secondary road	Urban/ in district sub-capital	Rural on a small hill	Urban, by main road	Rural, mountainous area
Medium of instruction	Sinhala	Sinhala	Sinhala	Sinhala	Sinhala	Sinhala
Demand	Most popular in the area	Popular in the area	Most popular	Becoming popular	Demanded on G5SE results	Three villages
Students/ Total	738	1073	684	277	522	112
Students ratios: Male: Female	354: 384	517:556	423:261	128:149	243:279	55:57
Students/ (Grades 1-5)	324	396	391	121	522	65
Students (Grades 6-11)	358	518	293	156	-	47 (Grades 6-8)
Students (Grades 12-13)/ GCE ALs	56 (Arts stream only)	159 (Arts-110/ Commerce-49)	-	-	-	-
Teachers (Total)	36	49	36	21	19	12
Teachers ratio: Male: Female	12:24	14:35	5:31	5:16	3:16	4:8
Graduates	14	26	7	6	2	2
Trained	18	19	25	13	17	6
Untrained	4	4	4	2	-	4
Physical facilities	Electricity, pipe-borne water, telephone, adequate sanitary facilities, learning spaces (OL science lab, ICT lab, library)	Electricity, pipe-borne water, telephone, adequate sanitary facilities, learning spaces (OL science lab, ICT lab, library)	Electricity, pipe-borne water, telephone, inadequate sanitary facilities and classrooms, learning spaces (ICT lab).	Electricity, local water source, adequate sanitary facilities and classrooms, learning spaces (ICT lab). Attractive garden.	Electricity, local water source, adequate sanitary facilities and classrooms, small land slips and hence with safety walls.	Electricity, local water source, adequate sanitary facilities, classrooms, A few computers, Attractive garden with horticulture
SDS membership	Around 400 parents	Around 500 parents	Around 400 parents	Around 150 parents	Around 300 parents	Around 75 parents
Commenced PSI	2008	2008	2009	2008	2008	2008
Commenced CFSI	2009	2009	2010	2010	2010	2010
Service	To several villages	To several villages	To several villages	To a few villages	To several villages	To three villages

3.3.2 Selection of key informants above school-level

Purposive sampling was applied to select key informants who played critical roles in policy related processes of PSI and CFSI (Policy Officials/POs) and the WB and UNICEF (DPs). Details are provided in Table 3.2.

Table 3.2: Introduction to the sample of key informants above school-level

Organisation	PSI	CFSI
	Pseudonym and Justification	Pseudonym and Justification
MoE (National-level)	PO1 (Female): Director of Education (SLEAS-1) serving for the MoE for 14 years. Has 25 years' experience in the field of education. Contributed to developing SBM policy since 2000, later PSI and its dissemination to zones and schools.	PO2 (Female): Director of Education (SLEAS-1) serving for the MoE for 14 years and has around 25 years' experience in the field of education. Involved heavily in capacity building, dissemination and expansion of CFSI since 2005.
NIE (National-level)	PO3 (Male): An Assistant Director General. Thirty years' experience in the field of education. Critically involved in designing and improving SBM policy and PSI and in building capacities of regional officers and schools. Has published and researched extensively on the SBM.	PO4 (Male): A Director with 20 years' experience in the field of education. Has provided leadership in curriculum development (primary education) incorporating CFSI concepts and in capacity building of regional officers and teachers on CFSI.
<i>Senrock</i> Province (Province-level)	PO5 (Male): Director of the province (SLEAS-I) for 2 years and has 22 years' experience in the field of education. Provided leadership and critically engaged in disseminating and institutionalising both PSI and CFSI in the schools in the province.	
<i>Ranke</i> Zone (Zone-level)	PO6 (Male): An Assistant Director (SLEAS-III), Head of the planning unit cum coordinator of PSI of the Zone since 2009. Has led the advocacy campaigns of PSI. Represents SDCs in 4 schools.	PO7 (Male): An Assistant Director (SLEAS-III), of the development section, coordinator/CFSI since 2009. Has contributed to disseminating CFSI to schools. Represents SDCs in 4 schools.
DPAs (National-level)	DP1 (Male): Represents the WB. Specialist in education for nearly 15 years. Assisted financially and technically through the WB to the ESDFP and to PSI. Also contributed to PSI through periodical reviews and research.	DP2 (Female): Represents UNICEF. Served on UNICEF-Sri Lanka education programme for nearly 20 years. A pioneer of the introduction of CFSI to Sri Lankan schools. Worked closely with the MoE up to CFSI pilot schools in capacity building. Sought financial, technical support through UNICEF for CFSI.

3.3.3 Selection of participants at school level

Purposive sampling was applied in order to identify five knowledgeable participants from each case-study school. They comprised the principal [to represent both PSI and CFSI as the Chairman of the School Development Committee (SDC) of PSI as well as the Child-Friendly School Committee (CFSC) for School Self-Assessment (SSA)], a teacher and a parent to represent PSI and a teacher and a parent to represent CFSI.

In the process of selecting teacher and parent participants, on my request, the principals introduced committed SDC member teachers and parents for PSI. They also introduced sectional-heads, teachers and parents of primary sections who have been involved in CFSI activities, e.g. SSA. It was noticed that the representative teachers of PSI were mainly teaching in secondary classes while those of CFSI were confined to the primary sections. I then contacted those teachers and parents face-to-face or over the telephone in order to identify people with more information for the interviews.

It was a difficult process; however, I realised that for PSI, the treasurers or secretaries of the SDCs are more informed. Accordingly, I identified teachers from among the treasurers if not at least members of SDC and parents from among the secretaries if not at least members of SDC. For CFSI, since such official positions were not available, I selected heads of primary sections or senior teachers of primary sections who had been extensively involved in CFSI assuming that they are well-informed. For CFSI, parents were selected realising their participation in SSA, School Attendance Committee (SAC) or who had frequently engaged in school activities.

Therefore, teachers and parents were selected on the assumption that those who had gained experience in PSI and CFSI would make a more meaningful contribution to the study than others. Therefore, it was a purposive and an 'opportunistic sample' (Bryman, 2008, p.458).

Participants' information is given in Table 3.3.

Table 3.3: Introduction to the sample of participants at schools

School	Principal (on both PSI; CFSI)	Teacher/ PSI	Parent/ PSI	Teacher/ CFSI	Parent/ CFSI
<i>Mathura</i> (Type 1C)	Principal (Acting) (SLPS-2-1), 15 years' service in <i>Mathura</i> . Known PSI and CFSI through ZEO. (Female)	Treasurer/SDC. Teacher (SLTS-I) of Geography (Grades 6-13). 10 years' service in <i>Mathura</i> . (Male)	Secretary/SDC and SDS. A past-pupil. A vendor/contractor. (Male)	Head/ Primary Section, Teacher/Grade 1, Twenty three years' service. (Female)	Parent/primary section, Member-SSA, Member/SDC, business woman. (Female)
<i>Pabala</i> (Type 1C)	Principal (SLPS-1). Known PSI and CFSI through ZEO. (Male)	Treasurer/SDC, Teaches at GCE AL classes. Fifteen years' service in <i>Pabala</i> . (Female)	Secretary/SDC. A past-pupil. A shop-owner. (Female)	Head/ primary section, Member-SSA; engaged in CFSI since its inception. (Male)	Parent/primary section. Member- SSA. A past pupil, Government servant Member/SDC. (Male)
<i>Chitra</i> (Type 2)	Principal (SLPS-1), known PSI in previous school. Not aware of CFSI. (Male)	Treasurer/SDC, teacher of Home-Economics. Member-CFSI finance committee. (Female)	Member/SDC, a businessman in the area. (Male)	Teacher/ Grade 3. Member-SSA. Received initial training on CFSI. Member SDC. (Female)	Parent/primary section Member-SSA. A businessman. (Male)
<i>Ariya</i> (Type 2)	Principal (SLPS 2-I), appointed in 2009, Known PSI in previous school, CFSI through SSA in <i>Ariya</i> . (Male)	Member/SDC, Mathematics Graduate. Joined <i>Ariya</i> in 2005. Known PSI since 2008. (Male)	Secretary/SDC. (member since 2008). Self-employed. (Male)	Head/primary section, Member-SSA, Trained teacher with 20 years' experience. (Female)	Parent/primary section. Member-SSA. Member/ SDC. A past-pupil. A housewife. (Female)
<i>Diyape</i> (Type 3)	Principal (Acting) (SLPS 2-1), Former Deputy, Known PSI and CFSI through ZEO. (Female)	Member/SDC. Deputy principal/ Trained teacher. (Female)	Member/SDC. A past-pupil, a school teacher. (Female)	Head/Primary section. Member-SSA. Trained teacher with 22 years' experience. (Female)	Parent/Primary Section, Member/SSA. A past-pupil. Government servant. Member/SDC. (Male)
<i>Manura</i> (Type 3)	Principal (SLPS-III), joined <i>Manura</i> in November, 2011. Known PSI and CFSI in previous school. (Male)	Member/SDC, Deputy Principal (Graduate). Seven years in <i>Manura</i> . (Male)	Secretary/SDC, serves in village committees, a housewife, parent/ <i>Manura</i> from 2003. (Female)	Teacher/ Primary section, Member/SSA (coordinator of PSI/CFSI). Member/SDC (Male)	Parent/Primary section. Member/SSA, Member/SAC, A vendor. (Male)

More than PSI, CFSI explicitly emphasises child's rights to education. CFSC, which is a participatory approach to planning, is not a permanent committee, but includes students of primary grades (i.e. Grades 4 or 5). However, these students do not have close and continuing relationships with the school management or adults who take part in CFSC. Some students who took part in CFSC had left for another school after completion of primary education. SDCs (of PSI) are permanent committees, but do not include student membership. Therefore, students' contributions to decision-making in PSI and CFSI was not comparable. In this context, therefore, the study had to depend on the adults who had been involved in PSI and CFSI in a direct and practical way, for its data. However, it is accepted that it is important to study students' perspectives on the school management and changes as they are the beneficiaries of SBM. Thus, in this context, the omission of students as respondents is considered to be a limitation of the study.

3.4 Data analysis

This section describes the three main stages and the method of data analysis.

3.4.1 Stages of data analysis

3.4.1.1 Analysis of policy-level data

The interview data gathered from participants at national, provincial and zone levels including DPA representatives, was analysed, supplemented with secondary evidence (policy documents, circulars, guidelines and aide-memoires) in order to inquire why PSI and CFSI were initiated in Sri Lanka and what their expected implications were for policy and practices in school management, thus addressing policy-related questions [see 1.2: questions (a) and (c)]. In this analysis, data from PO1, PO3, PO5, PO6 and DP1 was used to explore PSI while data from PO2, PO4, PO5, PO7 and DP2 was used to explore CFSI (see Table 3.2). The analysis is presented in Chapter 4.

3.4.1.2 Analysis of school-level participants' data

The interview data of school-level participants was analysed in school case-studies to explore in what ways the PSI and CFSI are being implemented and what their

emerging effects are on access, quality and efficiency, thus addressing implementation-related questions [see 1.2: questions (b), (d), (e) and (f)]. To explore PSI, data gathered from the principals, teachers/PSI and parents/PSI was used while to explore CFSI, data gathered from the principals, teachers/CFSI and parents/CFSI was used (see Table 3.3). Chapter 5 presents this analysis.

3.4.1.3 Cross-case analysis

Based on the school case-studies, a cross-case analysis is presented in Chapter 6, exploring the similarities and differences between PSI and CFSI in conceptualisation, implementation, organisational practices and effects, the extent to which the schools have integrated these two approaches, and the problems and better practices in that integration. This cross-case analysis specifically addresses questions (e) and (f) (see 1.2).

3.4.2 Method of analysis

The interviews conducted in Sinhala (the participants' and researcher's mother language) were audio recorded and later transcribed while being translated into English. Each participant's data was organised in separate matrices under the major areas of the interview guides but adding responses to open-ended questions. Reading through these matrices and reflecting upon the research questions and literature review, emerging important themes were identified, and in this process the data was re-organised several times in order to improve appropriateness, alignment with research questions and the overall quality of the data analysis. Data on PSI and CFSI were organised in similar structures for comparability and consistency. Any specific data coding system was not used.

Accordingly, under the core-themes and sub-themes that emerged, participants' data was summarised and combined considering their similarities, differences, main arguments and views while attempting to retain their own language as far as possible. Significant descriptions or arguments were presented quoting verbatim responses so as to support the main arguments. In this process, I attempted to understand the overall meaning, patterns, and categories of participants' data and to combine with them my own

(subjective) interpretations. Therefore, rather than a direct interpretation of data, categorical interpretations which concentrate on relationships identified under the core themes were used as the analytic strategy to address the research questions (Stake, 1995, p.77). The conclusions were blended with my interpretations, making the findings of this study ‘co-authored’ (Kvale & Brinkmann, 2009, p.192) by me and my participants. It should also be noted that certain data was further clarified during the analysis, by my contacting the participants during the data analysis process.

3.5 The reliability and validity of data, methodological limitations and ethics

3.5.1 The reliability and validity of data

Reliability in qualitative research refers to the fit between the researcher’s data and what actually occurs in the natural setting that is being researched; that is to say, the degree of accuracy, comprehensiveness of coverage and robustness. Reliability is a necessary pre-condition of the validity of a piece of research. Reliability concerns the question ‘whether the researcher would have made the same interpretations of data if they were gathered at a different time or in a different place?’, thus ensuring stability. Reliability is a synonym for consistency and applicability over time, over instruments and over respondents. In qualitative methodologies, reliability includes fidelity to real life, context- and situation-specificity, authenticity, comprehensiveness, honesty, depth of response and meaningfulness to the respondents (Cohen et al., 2007, pp.148-149).

Reliability of this study was ensured in many ways. Semi-structured interviews were supplemented with open-ended questions and document reviews to ensure robustness of data. All interviews were audio-recorded and they were listened to several times to ensure completeness, fidelity, meaningfulness and comprehensiveness of the transcripts, which were enriched by using field-notes. Interviews were held in the respondents’ natural settings, using the Sinhala language, and thus facilitating the flow of views. Situational questions were raised during interviews to further clarify participants’ responses. Policy documents, circulars and other materials were used to corroborate interview data and to understand the context broadly. Accordingly, interviews with policy-officials helped in exploring the actual processes of policy development and dissemination of PSI and CFSI, while school-participants’ data helped in comparing how

they are being implemented. Accordingly, the data helped in exploring what actually happens within PSI and CFSI in the research contexts.

Validity is an important key to effective research. In qualitative research, validity is addressed through honesty, depth, richness and scope of data of the respondents and the disinterestedness or objectivity of the researcher (Winter 2000, in Cohen et al., 2007, p.133). Validity is attached to respondents' accounts or perspectives rather than to data or methods. Thus, in qualitative data collection, the intensive personal involvement and in-depth responses of individuals secure a sufficient level of validity and reliability. Maxwell (1992, in Cohen et al., 2007, p.134-135) suggests that 'understanding' is a more suitable term than validity in qualitative research and that this notion is explained by five kinds of validity: descriptive, interpretive, theoretical, evaluative validity and generalisability.

The validity of this study was ensured in the following ways: to ensure descriptive validity, the factual accuracy of participants' accounts was supplemented and corroborated with documentary evidence and other participants' data; however, these cross references may not be sufficient to triangulate the data. Interpretive validity was ensured through my substantial awareness of the policy context and the research context, pre-conceived meanings of my participants and myself, and my participants' positions and my own. Theoretical validity was ensured by comparing the study findings (school case-study findings) with the propositions and policies. Similarities in the practice of SBM initiatives in different school case-study locations suggest the application of findings to other settings to a certain extent, thus ensuring generalisability or rather 'transferability' (Cohen, et al., 2007, p.137). This study, rather than being descriptive, has attempted to be evaluative and judgemental in exploring the strengths and weaknesses of the policies and practices of the two SBM initiatives. Thus, to a reasonable extent, it has ensured evaluative validity.

3.5.2 Methodological limitations

I interviewed selected key actors engaged in PSI or CFSI at policy and school levels. Two separate groups of officials from national and zone levels were engaged in these two initiatives, so it was not possible to interview them on both initiatives.

Moreover, owing to the limitations of time, capacity and the length of the study, it was not possible to interview other officials, teachers and parents. This is a limitation of this study. Even though I first proposed mixed methods to study the subject, considering the time limitations I chose qualitative approach and school case-studies, which are more illustrative than representative and have generated insights into the contexts. Hence, this is a multi-site study which provides rich data, thereby allowing the readers of this research to decide ‘whether transferability rather than generalisability of knowledge is claimed’ (Cohen, et al., 2007, p.137). However, collecting and analysing data on two initiatives and comparing their practices with their intended policies and between them, were complex processes. Nonetheless, I attempted to ‘do justice to the purpose’ (Creswell, 2009, p.214) to the best of my ability.

3.5.3 Ethics

In my professional capacity, I am well-known to all key informants at policy-level and to the DPA representatives. However, since they understood the purpose of my interviews and my ethical obligations on securing their confidentiality, they genuinely shared their responses including even criticisms of the policy-development process. I was not known to my school-level participants; however, I realised that when they knew my position at the MoE they paid special regard to me. To the best of my ability, I explained to them the purpose of the study and my intention to reveal what was actually happening at schools within PSI/CFSI. In addition, as guided by Cohen et al. (2007, pp.352-362), throughout the interviews I was careful about my language, treated my participants in a respectful, polite and friendly manner and maintained a good rapport with them, thus creating a free and friendly environment in which they could divulge their information. I hope that I was successful in this without any conflicts due to my professional and researcher roles.

I commenced my field-work following the ethical approval of the Sussex University and the approval of the MoE Secretary to collect field-data from the respective national organisations and schools. Moreover, I met heads of all organisations and schools to obtain their agreement to the data collection. Before commencing an interview with each participant, I explained the purpose of the study and assured them that their privacy, identity, anonymity and locations would be kept confidential.

Moreover, no financial or material benefit was offered and hence all participants contributed voluntarily, for which I am indebted to them.

3.4 Conclusions

Methodologically, I followed a qualitative research approach, with a case study approach to PSI and CFSI. The main method of data collection was interviews. Documentary reviews were used to corroborate interview data. I believe that I was taking an insider-outsider position, since I had certain involvements in PSI and CFSI at policy level but no involvements at implementation level. During my interviews, I attempted to treat my participants with great care and respect so as to minimise the impact of my position on the data that I was gathering. Thus, I believe that I was able to obtain open and genuine responses from my participants while keeping my research focus in my mind. All of them participated willingly and many of them revealed large amounts of information. I followed the ethical guidelines well in this study. As a result of these attempts, I believe, this study ensures validity and reliability to a greater extent and also draws certain transferable conclusions and recommendations within its own limitations. In this research, I believe that my ontological assumptions agreed with constructivism while epistemologically, I adopted the premise of interpretivism. In sum, this chapter attempted to disclose the researcher position and improve the transparency of what I actually did and how the conclusions were arrived at.

Chapter 4

Initiation of PSI and CFSI and their expected implications

4.1 Introduction

This chapter analyses data on the initiation and expected implications of PSI and CFSI. The second section provides a brief background to the research context in terms of country, education system and the province (*Senrock* Province). The third section introduces the background of SBM in Sri Lanka. The fourth section analyses Programme for School Improvement (PSI), addressing the Question (a) ‘Why was PSI initiated in Sri Lanka and what were its expected implications for policy and organisational practices?’ The fifth section then analyses the Child-Friendly Schools Initiative (CFSI) addressing Question-(c) ‘Why was CFSI introduced in Sri Lanka and what were its expected implications for policy and organisational practices?’ Data from key informants representing the national organisations and the province is combined with country-specific documentary evidence in these analyses. The sixth section concludes the chapter.

4.2 A background to the research context

Sri Lanka is a middle-income country with a Human Development Index value of 0.69, and is shifting from an agricultural economy to a service-oriented industrial economy. Free education and health interventions have contributed considerably to increased literacy and life expectancy, reduced maternal and child mortality rates and increased economic standards. Physical and infrastructure facilities have been extended to a large percentage of the population. According to the UNDP’s Human Development Report, the value of the Education Index of Sri Lanka is 0.68 and accordingly, Sri Lanka ranks first in the South Asian region. Moreover, in terms of mean years of schooling, expected years of schooling and gross enrolment ratio at secondary stage, Sri Lanka has also secured the first place in the South Asian Region (CBSL, 2011; DCS, 2011; UNDP, 2011).

The system provides 13 years of schooling, made up of five years of primary, four years of junior secondary and four years of senior secondary education. The current

government school system in Sri Lanka has 9,732 schools with 3.97 million students, of whom around 50 per cent are female, and has 219,766 teachers. In addition, there are 720 Pirivena¹² schools, 78 private¹³ schools and also around 300 schools prepare students for overseas examinations. PSI is being implemented in all the government schools while CFSI is being implemented in primary education in around 1,400 government schools. The *Senrock* Province (cf. 3.3.1) has 1,461 schools, 522,827 students and 30,841 teachers. By 2012, all its schools had been implementing PSI while CFSI had been introduced to 163 schools in the district where the *Ranke* Zone was located.

The education system suffers from several shortcomings. In terms of the student population, the school system shows polarisation caused by the differentiated demand for some schools in respect of the quality of education provided and resources available. As a result, there are declining numbers in some other schools. For example, in Sri Lanka, there are around 1,500 schools with fewer than 50 students each. The *Senrock* Province has around 250 such schools. In terms of availability of physical facilities, some disparities exist between schools and provinces. For example, 14 per cent of the schools overall do not have adequate laboratory facilities while 32 per cent of schools in the *Senrock* Province lack such facilities. In contrast, only 47 per cent of schools overall have ICT facilities while 53 per cent of schools in the *Senrock* Province have such facilities (MoE, 2010a).

Even with these issues, the proportion of students completing basic education at Grade 9 rose to 91.06 per cent by 2010 in Sri Lanka while the *Senrock* Province secured the first place among provinces having 93.58 per cent of students completing Grade 9 in 2010 (MoE, 2012).

The national testing system which reveals the performance of students comprises the Grade 5 Scholarship Examination (G5SE); the General Certificate of Education/Ordinary Level (GCE/OL) examination at Grade 11; and the General Certificate of Education/Advanced Level (GCE/AL) examination at Grade 13 (MoE,

¹² *Pirivena* provides education for Buddhist Monks.

¹³ At the time the Government took over the schools in 1961, some schools remained functioning as private or government-assisted private schools.

2007; 2012). According to the Department of Examinations (DoE), in 2012, the percentage of students qualifying at GCE/OLs for GCE/ALs was 62.4 per cent and the percentage qualifying from GCE ALs for university entrance was 64 per cent. Among nine provinces, in 2012, the *Senrock* Province ranked in 6th place with 58.8 per cent of students qualifying at GCE/OLs for GCE/ALs, and in 8th place with 62.4 per cent of students qualifying from GCE ALs for university entrance (DoE, 2013), showing that serious attention should be paid to improving students' performance in the province.

The National Assessments of Achievement of Students conducted by the National Education Research and Evaluation Centre (NEREC), University of Colombo, Sri Lanka revealed that in 2009 the proportion of Grade 4 students scoring over 50 per cent was: 82.9 per cent in First Language; 81.8 per cent in Mathematics and 58.4 per cent in English Language. By comparison, in the same year, the proportion of Grade 4 students in the *Senrock* Province scoring over 50 per cent was: 78.5 per cent in First Language; 76.8 per cent in Mathematics and 55.9 per cent in English Language, and hence, the province lags slightly behind the national averages (NEREC, 2004a; 2004b; 2007; 2009).

This shows that while Sri Lanka has secured a better place in socio-economic standards, the education system still requires some policy measures to redress the gaps in facilities between provinces and to solve performance issues. The *Senrock* Province, in general, also needs more attention in relation to enhancing the performance of students. This brief contextual analysis therefore suggests that it is timely to study how SBM, as a national policy initiative, is designed to make a difference in the school learning environment.

4.3 Background of SBM in Sri Lanka

Since the sanctioning of a Scheme for Free Education by the State Council during the 1940s, the system of education in Sri Lanka gradually expanded, thus requiring changes in management. To meet its demands, the education administration was decentralised in 1961 by creating 10 educational regions and establishing a circuit system. Later, in 1981, school clusters were formed, combining a group of primary and secondary schools in a geographical area with the aim of their sharing resources and

helping each other with quality development. However, this system did not reach the expected standards (Perera, 1997, pp.9-11), and after the Government of Sri Lanka (GoSL) legislated decentralisation of administration through the 13th Amendment to the Constitution, thereby forming Provincial Councils (PCs) in 1987 (GoSL, 1987a, p.16), education became a devolved subject. Accordingly, the education system is being run by a central-provincial collaborative management structure (See Appendix 1.1; Appendix 4.1, for details).

The transfer of certain fiscal powers to schools in Sri Lanka was first recorded in 1982 with the establishment of School Development Societies (SDS) which encouraged parents and the community to help schools with their development and assist in raising funds and utilising them in a transparent manner (MoE, 1982). The MoE, in 1993, introduced School Development Boards (SDBs) thereby further devolving fiscal and administrative powers. Each SDB consisted of the principal (as Chair), deputy principal, three teachers, three parents, three past-pupils, and a well-wisher/benefactor. However, by 1995, certain issues such as insignificant transfer of financial autonomy, lack of emphasis given to democratic decision-making, high emphasis on raising funds and ignorance of how small schools work, hindered the functioning of SDBs. In this context, SDSs remained in operation (Perera, 1998, pp.39-40).

The introduction of the Norm-Based Unit Cost Resource Allocation Mechanism in 2000 marked a salient point in the course of empowering schools. It increased procedural equity through a formula based on student population, students with special needs and location disadvantages of schools, and enabled schools to make decisions over procuring Quality Inputs (QIs) -in other words, materials, equipment, instruments and external services- and maintaining equipment (MoE, 2002). In 2006 it was strengthened with the Higher-Order Process grant for student- and teacher-based programmes (MoE, 2006).

It was against this background that the GoSL introduced PSI as the national SBM policy initiative to all government schools during 2006-2011 (MoE, 2005; 2008a). Moreover, on the invitation of the MoE, UNICEF had, since the early 2000s, introduced CFSI to selected primary schools (Sivagnanam, 2008). CFSI also has SBM characteristics, and some schools implement both PSI and CFSI. The subsequent

sections reveal the reasons for initiation and anticipated implications of PSI and CFSI for policy and organisational practices.

4.4 Programme for School Improvement (PSI) in Sri Lanka

This section discusses the reasons for the initiation and expected implications of PSI.

4.4.1 Diagnosis of problems that PSI was designed to address

According to PO1 (Policy Official/PSI/MoE), the need for SBM in Sri Lanka was reflected in the Report of the Presidential Commission on Youth Unrest in 1990 as a measure to address the criticisms by youth against the curriculum, book-based learning and schools being isolated institutions failing to respond to the needs of the community. Subsequently, the National Education Commission (NEC)¹⁴ also recommended the introduction of SBM in stages to the school system as early as possible, clarifying who is responsible for achieving school objectives (2003, p.xxix). NEC explains that

SBM is a concept in which power and authority on decision-making is devolved to a representative group of persons from among all stakeholders constituting a Council or a Board of Management. This arrangement would create a sense of ownership among the beneficiaries which will lead to a greater commitment towards running their schools efficiently and effectively (NEC, 2003, p.235).

Referring to the recommendations of the NEC's First Report issued in 1992 on the need for schools to be open entities with a curriculum linked to society's needs, PO1 emphasised that schools need a suitable management structure in order to address inequity, lack of diversification and parents' expectations. PO1's data revealed that the design of PSI was largely influenced by the NEC's recommendations. The designing process of PSI had commenced during 2000-2001 through a National Committee chaired by the MoE Secretary and those who participated were central and provincial officials including PO1 and PO3 (Policy Official/PSI/NIE) and principals. The Committee recommended the establishment of a School Management Board, a Senior Management Team and committees on finance, infrastructure, curriculum, staff development and

¹⁴The NEC (established in 1990) is responsible for providing policy recommendations on education to the President of the country.

welfare. Although this process was impeded for some time it was restored with the re-appointment of the previous MoE Secretary in 2004. This time, a basic framework of SBM focusing on schools with more than 2,500 students was developed and the same was submitted to the Cabinet of Ministers. However, a Marxist, Communist political party had certain concerns about the proposal and hence it was referred to a Special Parliamentary Sub-Committee. Based on the views of this Committee, the Cabinet of Ministers agreed to introduce SBM to all schools with a new name. Accordingly, the SBM policy in Sri Lanka was renamed PSI. The MoE also raised awareness and consulted provincial authorities and trade unions prior to the commencement of the PSI pilot programme in schools in a selected education zone in each province in 2006. Subsequently, this was expanded to all other zones (see Appendix 4.2). As PO5 (Policy Official/PSI & CFSI/*Senrock* province) revealed, the sequence of pilot zones in *Senrock* province was decided on the basis of academic performance of zones.

According to PO5, the resistance against SBM was merely caused by the scepticism as to whether it would distance schools from Government support and control, finally leading to privatisation, in which case richer schools would grow rapidly while disadvantaged schools would be ignored. PO5 has led awareness programmes to educate teachers, principals and, trade unionists, as well as parents, on the objectives and importance of PSI and has later found that schools with strong SDCs faced challenges successfully. According to PO1, such stronger PSI schools have paved their way forward with a long-term vision and been growing faster than others.

The study reveals that SBM in Sri Lanka did not originate on Development Partners' influence. However, according to PO3, the WB and ADB helped implement PSI with vigour. The development process of the concept of PSI was supported by the ADB providing consultancies, while its implementation process was facilitated by the WB through the latter's assistance for the ESDFP (see 1.1) (PO1). The MoE's intention was to adopt the 'Balanced-Control Model (BCM) of SBM', thereby 'granting schools greater managerial power, and forging stronger links between schools and local communities, parents and past pupils' through PSI (WB, 2006, p.12). DP1 (representative/WB) explained that the WB's assistance was mobilised for PSI for capacity-building programmes and for seed grants to initiate PSI in disadvantaged schools. The WB also periodically reviewed PSI by making visits to schools and

providing recommendations for strengthening implementation. Furthermore, the WB undertook an impact evaluation on PSI.

4.4.2 Expected implications of PSI for policies and outcomes

The implications of PSI for policy could be analysed from several perspectives. PSI is defined as a synergetic approach to improving the quality of the services provided by the schools by ensuring flexibility in internal activities, sensitivity and responsiveness to community needs and transparency in school management. It is also intended to increase efficiency in resource use and provide diverse learning opportunities for students (MoE, 2007, p.62; 2008a, p.2). PO1's opinion was that

.....the broader objective of PSI is to empower schools to be independent, give them more autonomy to make flexible decisions and improve community participation. The need for strong decision-making structure and financial decision-making powers was considered in designing PSI.....It is a 'self-improvement policy'. It helps school personnel to identify a better path to improve the school.

PO3 stated that

PSI is a synchronised vehicle to achieve an identical vision and mission through an own path for improvement and to develop the personalities and performance levels of children. It focuses on mental and physical development of children thus respecting diversity (PO3).

From the perspectives of these respondents PSI aims to promote community-collaboration and enable schools to become dynamic social organisations which discover their development with a unique vision and mission. It also aims to encourage diversity in academic programmes in meeting the learning needs of children. PO3's interpretation clarified that PSI was expected to synchronise the prevailing SBM practices and that 'the school community needs to understand the status of the school and identify the means to improve it'.

DP1 highlighted the fact that

PSI is sensitive to the expectations of the school community and improves transparency in management.

Moreover, DP1 recalled that the practical importance of pursuing collaboration between academics (principal and teachers), parents and the authority (e.g. Zonal Education Office) in decision-making (i.e. BCM) was agreed at the policy discussions of GoSL. Accordingly, the WB had agreed to support the PSI.

PO3 also confirmed that PSI promotes collaboration in school development:

PSI mobilises the contribution of all stakeholders towards school improvement and for achieving better results. It strengthens the school and enables different schools to go on a different journey....the change occurs in a continuum (PO5).

PO6 (Policy Official/PSI/Ranke Zone) added that

PSI is a collaborative attempt by all partners for quality improvement of the school..... A legitimised framework promotes such collaboration (PO6).

Therefore, in principle, PSI is expected to ensure democracy in decision-making in the process of school improvement. As PO5 suggested, these changes will occur in a continuum rather than producing immediate and tangible results.

PSI could also ensure school accountability. As PO3 explained, efficiency in the use of resources, accuracy in management and procurement decisions, disclosure of progress and student performance facilitate accountability. He added that in the Sri Lankan context accountability could also mean ‘genuineness and dedication’ of principals and teachers. PO3 was concerned, however, that the principals’ overemphasis on administration and financial management, including the maintenance of school premises, might distance them from their instructional leadership role. As PO3 further pointed out, there can be contradictions between the objectives of PSI and other contemporary policies negatively influencing school management. For example, despite the fact that PSI encourages the ‘self-improvement’ of schools, the SDCs may not be able to use the authority against the outward migration of outstanding students after G5SE or GCE/OLs, and this would impact negatively on school performance. Moreover, the educational authorities might allocate school buildings and premises for various non-educational purposes (functions, elections and exhibitions, etc.) without consulting the SDCs. These contradictions may not be eliminated immediately, and hence, as PO3 suggested, a better alternative would be to leave PSI to be grounded and

evolved within the system with its own characteristics in different places without being submerged within other national policies, and meanwhile, to allow the system to diagnose the issues and provide solutions. He also suggested the need for initiating a policy dialogue on the sustainability of PSI amongst other contemporary policies.

4.4.2.1 Communicating PSI to schools

The relationship between policy and practice critically depends on how the policy was disseminated to the implementation level. In the case of PSI, the policy was disseminated in two main ways: (i) the guidelines of the MoE Circulars (MoE, 2005; 2008a), and (ii) zonal-level awareness sessions led by the MoE together with the Provincial Departments of Education (PDE) for zonal officials (one-day) and school principals (one-day) in which both PO1 and PO3 were resource persons. Accordingly, officials of the pilot zones and provinces had received orientation on PSI in 2005 (WB, 2005), however, most of these awareness sessions were confined to explaining circular guidelines. To the extent possible, attempts have been taken to share the theory and outcomes of SBM and explain how schools could be innovative without becoming submerged in the macro-programme (PO3).

According to PO6, following the awareness sessions, zonal officials organised on-site awareness sessions in the pilot schools. These sessions have been helpful in addressing scepticism of some principals *whether PSI will over empower parents* by providing a thorough understanding of the intentions of PSI for democratic decision-making and ensuring accountability while continuing the government's support to schools. In the *Ranke* zone, the Zonal Director has appointed SLEAS officers, and where there is a shortage of these, In-Service Advisers¹⁵ (ISAs), to represent him at the SDCs. Apparently, these representatives raise awareness of PSI among SDC members.

4.4.3 PSI: expected implications for organisational practices and effects

This section discusses the expected implications of PSI on school decision-making structures, participation by parents and the community, school-based planning,

¹⁵ISAs are Master Teachers appointed at field level to guide teachers in the respective curriculum subjects.

and on the role of the academic staff and SBTD. The section also discusses the expected effects of PSI on students' access, participation and learning.

4.4.3.1 PSI: Changes in decision-making structures and autonomy

This section discusses the existing school decision-making structures and changes after PSI.

(a) Previous decision-making structures

According to MoE Circular No. 1982/2 (MoE, 1982), schools are functioning School Development Societies (SDS) which comprise mother/father/legal guardian of each student and all teachers and such Societies are still in force. At its Annual General Meeting, the SDS committee (SDSC) is elected for decision-making through regular meetings. SDS is also authorised to undertake small-scale contracts for civil works (construction) and hire services for the benefit of the school. The principal is responsible for obtaining approval for school plans, expenditure statements and any other matters from SDS.

Moreover, MoE, in 2002, introduced two other important decision-making committees: School Procurement Committee (SPC) and the School Evaluation Committee (SEC), for school-based procurements of QIs (MoE, 2002) (cf. 4.3). These bodies are also authorised for procuring inputs and services for higher-order processes (MoE, 2006). In addition to the above, Parent-Teacher Associations (PTAs) are functioned at classroom-level to discuss students' progress periodically.

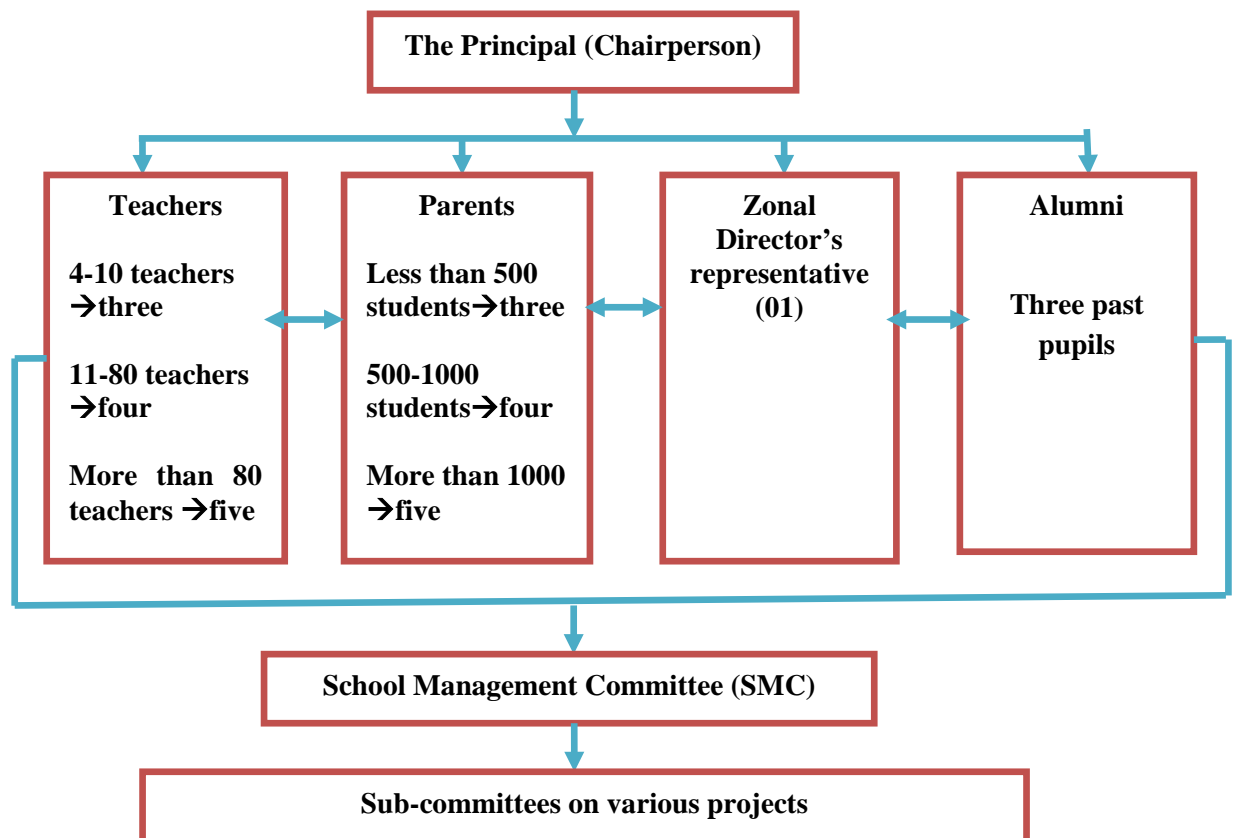
The above-mentioned structures are in operation in tandem with the PSI.

(b) Composition of the decision-making structure under PSI

MoE (2005; 2008a) introduced the School Development Committee (SDC) as a new instrument in the school decision-making structure under PSI. According to PO1 and PO3, the composition of the SDC was decided on the basis that (i) it should comprise two groups: government counterparts and community members (i.e. parents and past pupils); (ii) the role of the principal should not be too strong; and (iii) the

majority should be the community members because, otherwise, the principal and teachers might tend to disregard parents' views in decision-making. The Zonal Director's representation was expected to ensure some kind of central control and advocacy. The principal chairs the SDC. Its parent membership is elected in proportion to the student population and at a special parents' meeting. Teacher membership is elected in proportion to the total number of teachers and at a special staff meeting. Three past pupils should be nominated by the Past Pupils Association. In the absence of such an Association, the principal can elect past pupils. The Secretary to the SDC should be a parent, while the treasurer should be a teacher. The duration of office in the SDC is 3 years, and members can be elected for two consecutive terms. These conditions are not applicable to the principal, deputy principal and the Zonal representative. Any vacancy in membership, caused by a member leaving, should be filled within three months with a new member from the same category for the rest of the SDC duration of office. Figure 4.1 below depicts the organogram of the SDC.

Figure 4.1: Organogram of the SDC



Source: author.

However, it could be questioned as to why the SDC composition comprises a majority from the community when the BCM (cf. 4.4.2) was advocated for PSI. Further, the process of selection of membership, which occurs on separate occasions, could affect a democratic election. Furthermore, the absence of a main forum of all stakeholders affects validation of decisions, sharing of losses and achievements and ensuring transparency and accountability.

Another concern is that the SDC does not include student representatives despite the fact that SBM theory advocates students' participation in the School Council (cf. 2.2.2.1). SDCs are aimed at making all management and financial decisions and hence, it seems that the parents and past-pupils, who comprise the majority of the SDC's membership, are expected to appear on behalf of the students and their needs. Since PSI adopts BCM and aims at meeting the learning needs of students, inclusion of students in the committees of PSI seems a necessity (cf. 2.2.2.3.4; 4.4.2).

(c) Functions and meetings of the SDC

The main functions of the SDC include making democratic and effective decisions on school improvement, undertaking responsibility for implementing those decisions, and being accountable to the beneficiaries. The SDC is responsible for preparing a Medium-Term Plan and an Annual Implementation Plan (Annual Plan, hereafter), strengthening curricular and extra-curricular activities, promoting SBTD, developing and maintaining school infrastructure and strengthening school-community relations.

It is also responsible for establishing a PSI account, preparing budget estimates and managing financial resources in accordance with the plans approved by ZDE, raising funds through various sources and activities, procuring works, assets and services and maintaining accounts. For purposes of procurement, an SPC and SEC should be established under the SDC. The SDC should meet once a month or when necessary. Therefore, as PO1 revealed, the SDC has authority to arrive at better decisions on the school's future depending on the specificities of the school even though it does not have great power as in other countries.

(d) School Management Committee (SMC)

The SMC formed under SDC is comprised of the principal (chair) and an elected group of teachers including SDC teacher-members. It is responsible for implementing SDC decisions and drawing the SDC's attention to the schools' priority needs and urgent matters. SMC can meet regularly. SMC could set up sub-committees with three or more members for carrying out various activities and resolving issues within its scope (MoE, 2008a). PO1 explained:

SDC decides on the composition of SMC. It includes SDC teacher membership, Deputy and Assistant Principals, Sectional-Heads and any other teachers.....SMC can have any number of sub-committees created for various purposes and to make decisions subject to the approval of SDC...(PO1).

As PO6 expressed it, the success of SMC mostly depends on the commitment of the teachers and parents in their contribution in sub-committees.

(e) Transfer of decision-making authority to schools and the resulting requirements

PSI was reported as having changed the general practice of principals obtaining approvals from ZDE for all sorts of decisions -for example, for educational visits of students, hiring utilities or educational services and procuring school requirements- and instead has enabled the SDC to make most of such decisions. SDC can make procurement decisions within thresholds of financial decision-making which have been increased up to Rs 300,000.00. Procurements beyond this threshold will be the responsibility of zonal/ provincial/ ministerial tender committees. Schools could merge procurement and evaluation committees under PSI with the committees for procurement of QIs (cf. 4.4.3.1 (a)) (MoE, 2008a).

Both PO1 and PO3 had observed that the extended managerial and financial decision-making power worked well; for example, SDCs had made decisions on hiring teachers from the area while transparency in the use of resources was also increased. PO3 also said that

.....linking a Zonal representative to the SDC was a break from the traditional structure. The zonal representative is expected to spend a day at the school once a month, sit on the SDC meeting and help the school to clarify administrative and development problems. Then, the Zonal Director should summon a meeting of his representatives to discuss issues and identify measures to support schools.....

These views suggest PSI intends to establish a systematic zone-level monitoring and follow-up mechanism to facilitate schools.

4.4.3.2 PSI: Forging collaboration between school and community

PSI is expected to promote parents' participation in school management, irrespective of their socio-economic status or level of education but recognising their positive attitudes to school development. This ideology was communicated to the schools (PO1). MoE (2008a) spells out that schools with PSI will

- promote a sense of dignity among the school community by obtaining their active participation in school development,
- design and implement programmes together with the community for school development,
- guide the community to positively recognise that 'this is our school',
- enhance the school's sensitivity towards the community and conduct programmes for the benefit of the community,
- educate parents to create an active home learning environment for children and understand children's learning difficulties and help resolve them, and
- increase transparency in school management and financial management.

It is also expected by these respondents that PSI will increase democracy in decision-making and obligations of teachers, parents and past pupils in school development.

4.4.3.3 PSI: School-based planning, improvements in curriculum and physical infrastructure

PSI promotes a school-based planning culture within the school (PO3). MoE (2008a) explains that

- SDC is responsible for identification and prioritisation of needs and preparation of Medium-Term and Annual Plans in line with the guidelines issued by the MoE and aimed at achieving school objectives.
- SDC should review plans and recommend them for the approval of the Zonal Director. The Zonal Director is responsible for making arrangements for resourcing the school plans in consultation with the PDE/MoE.

PSI was also expected to promote effective and efficient utilisation of resources provided by the government and the community and implementation of the national curriculum satisfying community needs.

Improvements in curriculum and extra-curricular activities

PSI guides schools to

- implement diverse programmes to ensure students' acquisition of competencies meeting the needs of the area and using resources efficiently.
- facilitate implementation of teaching and learning process.
- set up a mechanism to ensure effective use of school grants.
- ensure involvement of resource persons of the community to strengthen school programmes.
- improve library facilities.
- provide career guidance for students completing school education.
- implement wide-ranging extra-curricular and co-curricular programmes.

For example, as PO6 stated that

After PSI, certain schools have implemented well-organised programmes and special projects through which they obtained the attention of the community.....for example, a rural school organised an agricultural exhibition with massive community participation. SDC led this programme.

This view suggests that PSI promotes context-specific programmes in the school plans.

Maintenance and improvements in school infrastructure

PSI promotes designing and implementation of necessary constructions and maintenance of school infrastructure through participatory approaches.

4.4.3.4 PSI: Change in the role of the principal and teachers, and SBTD

PSI, with its legitimised changes in decision-making, urges every principal to play a multiple role as a democratic decision-maker, coordinator, facilitator and instructional leader. PSI also extends the role of the teachers beyond classroom teaching involving them in decision-making, development planning and collaborative programmes with the community (PO1; PO3).

In Sri Lanka, teacher professional qualifications are three fold: National Teaching Diploma (Three-years/ pre-service), Teacher Training Certificate (two-years/in-service) and Postgraduate Diploma in Education (for graduate recruits). In addition, continuing teacher education (short-term, one- or two-day courses) is provided at zone-level programmes to update teachers on curriculum-related knowledge and skills (MoE, 2007). PSI makes SDCs responsible for the planning and implementation of SBTD Programmes (SBTDPs) to satisfy the school's needs (MoE, 2008a) by providing direct classroom support to strengthen everyday teaching (WB, 2005, p.5). Mentoring by more experienced teachers, discussions between peer teachers on teaching methodologies and special consultations from expertise are some of the strategies to implement SBTDPs.

PO3 considered that a successful SBTD environment will depend on identification of training needs by teachers themselves, context-specific and intelligently designed SBTDPs focused on curriculum and pedagogy and allocation of a reasonable budget for SBTDPs.

4.4.3.5 PSI: Effects of PSI on student participation, learning and efficiency

PSI guides schools to identify appropriate programmes to ensure equitable opportunities for learning for all students. The view of PO1 was that

PSI influences principals to deliver programmes which better match the realities of the school.....they were informed of the need for improving retention. We have observed that some schools have taken steps towards this..... (PO1).

Therefore, PSI advocates schools to meet the expectations of communities by delivering sensible programmes. Therefore, the schools facing issues of access, participation and retention are expected to take measures to address those since PSI emphasises for improving ‘each students’ potentials’ (MoE, 2008a, pp.1-2).

PO3 explained that

PSI is linked to outcomes relating to the students’ mental and physical development and emotional intelligence. However, a centrally driven system does not allow schools to act in an independent manner. Many principals like to understand how PSI can help achieve final outcomes. PSI cannot be successful without correctly positioning the roles of individuals; the role of the principal is critical here.

Therefore, PSI will be successful if the principals understand the means to improve educational outcomes and their extended roles, functions and responsibilities. An emerging responsibility of principals was explained as follows:

Principals were advised to periodically track each student’s performance and design special programmes to help both weak and gifted students to achieve better standards by the time they leave school (PO1).

In practice, in *Ranke Zone*, on the directions of the SDCs, teachers of many schools implemented various projects in collaboration with parents and this resulted in improving the attendance and health status of students and raising understanding among parents on educational outcomes (PO6). Similar progress was observed elsewhere; for example,

PSI promotes the school to make development decisions based on the needs, setting up targets and acquiring better results. Some smaller schools had received excellent support from community for generating resources for educational programmes (PO1).

Among the small amount of research available on PSI, a baseline survey of PSI pilot phase schools revealed that at the beginning, PSI and non-PSI schools were indistinguishable in terms of school management practices (Gunasekera et al., 2006). Moreover, an impact evaluation of PSI which collected data from a sample of schools in 2006 and 2008 and used rigorous statistical analyses revealed that schools with PSI performed better in terms of improving the cognitive achievement levels of primary school students (WB, 2011). These findings indicate that PSI is having a positive impact on student learning.

4.4.3.6 PSI: Key assumptions and key issues

The key assumption of PSI is to entrust schools with autonomy for making collaborative decisions for school improvement. Therefore, on a par with the PSI, the functions and responsibilities of zones, provinces and MoE should be revised. The POs had expected that it would be necessary to establish a certain central control in order to ensure congruence between school decisions and national policies. The Zonal Director's representation in the SDCs, the necessity for obtaining the Zonal Director's approval for plans and estimates, and the submission of four-month school account summaries to zones, are some of the mechanisms that ascertain this control and that guarantee accuracy of financial management. However, the shortage of SLEAS cadres, as well as transport difficulties and various other responsibilities make zonal officials' presence in SDC meetings insufficient. Furthermore, prevailing progress reporting and zonal-level monitoring mechanisms should be streamlined and strengthened, in order to ensure efficiency and transparency in management in schools.

PO5 revealed that

.....PSI goes beyond the previous SDS by empowering schools with more autonomy to make decisions. PSI has procurement and evaluation committees, upper thresholds and the SDC, therefore, formal systems and mechanisms for management and procurement decision-making (PO5).

Accordingly, PSI empowers schools in several aspects, but the specific power vested in the SDS to undertake small-scale contracts (civil works) is not available with the SDC. PO6 revealed that because of this reason, the SDCs depend on SDS to implement their projects.

Another assumption of PSI is that diversity in school programmes will enable each school to acquire higher standards compared to its own past. PSI respects differences and helps improve schools in a heterogeneous system in which schools vary by student population, grade span, availability of human and physical resources, socio-economic status of parents and student performance. However, the realities of smaller schools point to the need for a special arrangement for implementing PSI in such schools. As PO5 stated, a flexible SDC and additional support should be available for those schools. As an alternative, two or several smaller schools could have one joint SDC with one zonal representative and a joint procurement/ evaluation committee. The SDC can have a board of chairpersons, comprised of principals of all schools.

Among these issues, PO6 had observed that after PSI, a formal practice of team work and participatory decision-making was promoted, bringing the schools forward, and the success of many schools could be extensively attributed to the principal's leadership and the cooperation extended by the communities.

4.5 Child-Friendly Schools Initiative (CFSI) in Sri Lanka

This section analyses reasons for initiation and expected implications of CFSI.

4.5.1 Diagnosis of problems that CFSI was designed to address

CFSI is an integrated strategy to promote child's rights-based and individualised learning in a safe and protective environment. It also promotes participation of the community in planning and implementing school activities (UNICEF, 2006). DP2 (representative/UNICEF) stated that, in response to a request made by the Secretary to MoE in 2002, to launch a pilot programme to test non-traditional, innovative educational strategies in small disadvantaged schools, UNICEF introduced an initiative entitled 'Protection through Education' under the theme 'rights of every child to education'.

UNICEF Sri Lanka (where DP2 was a part) had designed this programme in collaboration with a group of officials of the NIE and piloted it in 124 schools in one of the provinces during 2003-2004. Pilot schools were selected from three Divisional

Secretariat Divisions¹⁶ with high percentages of families living below the poverty line. DP2 and government officials visited these schools and realised that most of the children were under-nourished, psychologically stressed and performed poorly compared to students in many other schools (in the tests administered by the NIE officials). The majority of parents of these students were labourers working in the coconut industry in the area. Due to frequent changes of parents' workplaces and place of living, these children had to change schools. These children were called 'mill children'. They were neglected in the schools, their attendance was low and drop-out rates were high. The intervention was designed with a view to changing the school environment, teachers, parents and students.

The resultant programme was implemented by a team comprised of officials of UNICEF (i.e. DP2), province, zone and the NIE and medical doctors for one and half years. A definition of child-friendliness was used to raise awareness of education and protection of children among parents, teachers and principals. School communities were invited to identify issues, engage in collaborative planning exercises and to promote a positive learning environment. As a result, the physical environments of project schools were improved with flower beds, vegetable plots, play-parks and sanitary facilities (DP2; UNICEF, 2009d, p.9).

DP2's data revealed that, having this background and understanding the framework implemented in other countries (e.g. Thailand, Philippines), UNICEF Sri Lanka included CFSI in its country programme in 2004 and with the consent of the MoE, this initiative was extended to other schools. Reportedly, the programme was expanded to 17 districts in four provinces (Central, North, East and Uva) covering 1,400 schools during 2005 (Sivagnanam, 2008). Selected schools in some other provinces (North Western, Sabaragamuwa) also received CFSI (CFSI by districts is given in Appendix 4.3).

PO2 (Policy Official/CFSI/MoE) has been involved in CFSI since 2005. Her analysis revealed certain variations between schools with CFSI, where some pilot schools showed improvements in daily-attendance, parent-teacher links and contributions

¹⁶Divisional Secretariat Divisions (DSDs) are the lowest administrative division in Sri Lanka. There are 330 DSDs.

from parents towards physical infrastructure development, whereas others were lagging behind. Some schools had improved their physical environment with UNICEF's financial grants. UNICEF (2009d) had also accepted that the success of the pilot project was only sporadic. Moreover, the project had been interrupted since UNICEF funding was diverted to Tsunami¹⁷ recovery activities in 2005-2006.

By this time, PO2 had recognised that because of the MoE's lack of involvement and UNICEF's involvement with school grants and capacity building programmes, the schools considered the project was owned by UNICEF. Meanwhile, several NGOs (including Save the Children Sri Lanka, Plan Sri Lanka) had also become involved in CFSI but with different objectives; for example, advocating 13 different elements in contrast with UNICEF's six dimensions. Most of these interventions did not lead to an outcomes-oriented approach, but UNICEF as well as these NGOs had a common interest in promoting a participatory approach to school development. Both PO2 and DP2 recalled that, realising that this fragmented project-based approach was no longer sustainable, the MoE gave a momentum in 2007 by launching CFSI as a national strategy to improve the quality of primary education mainstreamed with the ESDFP (2006-2011).

According to PO4 (Policy Official/CFSI/NIE) and PO2, this impetus was materialised in two main ways. First, the NIE incorporated CFSI dimensions, child rights perspectives and related teaching methodologies in the training programmes for ISAs and teachers since 2007. Second, the MoE, NIE, UNICEF and provinces together developed a framework of appropriate criteria and indicators for each of the six dimensions of CFSI in 2008 (see Appendix 4.4), though with the help of a foreign consultant hired by UNICEF. UNICEF's assistance to the GoSL was earmarked through its direct financing for the MoE and provinces to implement CFSI, and the NIE for development of primary education curriculum, partly supplementing the budget deficit of the NIE as well.

¹⁷Sri Lanka was hit by a Tsunami disaster in December 2004 and most of the aid agencies diverted their support to recovery activities.

4.5.2 CFSI: Expected implications for policies and outcomes

The main policy objectives of CFSI are to ensure a rights-based approach in education, achieve EFA goals, improve the quality of learning through a learner-supported, health-promoting environment, and strengthen teacher-parent links. A Child-Friendly School (CFS) is one which proactively fulfils all the rights of all children as defined by the Convention on the Rights of the Child. CFSs are:

- (1) rights-based and proactively inclusive;
- (2) gender-responsive;
- (3) promoting quality learning outcomes relevant to children's need for knowledge and skills;
- (4) healthy, safe and protective of children;
- (5) actively engaged with students, families and communities; and
- (6) supported by child-friendly systems, policies, practices and regulations (MoE, 2008b; UNICEF, 2009d).

The aforementioned six dimensions incorporate a framework of 29 criteria and related indicators (MoE, 2008b) (see Appendix 4.4). The Convention on the United Nations Rights of the Child adopted in 1989 influenced the initiation of CFSI, and its most relevant articles are as follows.

Article No. 28 states that ‘ Every child has the right to an education. Primary education must be free. Secondary education must be available for every child. Discipline in schools must respect children's human dignity. Richer countries must help poorer countries achieve this’.

Article No. 29 states that Education must develop every child's personality, talents and abilities to the full. It must encourage the child's respect for human rights, as well as respect for their parents, their own and other cultures, and the environment (UNICEF-UK, 2009).

CFS is a broad approach to secure rights of girls and boys to have access to equal educational opportunities and to learning resources and thereby ensure that children are not neglected (PO4). CFS also establishes an inclusive learning environment; eliminates

punishments; conducts medical inspections and referral services (PO2); and promotes a dialogue on children's rights to schooling and protection from threats and abuses, and also between families and schools (PO5: Policy Official/PSI and CFSI/*Senrock* Province). Policy officials' views suggest that they are thoroughly aware of the CFSI.

PO5 added that the concept and principles of CFSI are not new to Sri Lanka since the national goals and competencies of education defined by the NEC and the curriculum policy designed by the NIE underlines the principles of children's right to education, equal opportunities for all, gender equity, child-centred learning and a safe and protective learning environment. From these perspectives of the respondents, it appears that CFSI principles help enrich the contents and methodologies of the national curriculum.

4.5.2.1 CFSI: Communicating CFSI to schools

According to PO7 (Policy Official/CFSI/*Ranke* Zone), 32 out of 67 schools in the zone were practising CFSI. The Provincial Department and the MoE together held awareness sessions for Zonal Officials on CFSI, and since then, the Zonal Officials have provided a three-day training programme to principals and/or representative teachers of CFSs. The training has included

a full account of the characteristics of a child-friendly learning environment, adaptation of the curriculum by drawing examples from the area they live and study in, using child-centred learning methodologies, assessing learning competencies and providing equal opportunities for girls and boys in learning activities, sports and extra-curricular activities....(PO7).

Moreover, the School Self-Assessments (SSAs) which were financially and technically supported by UNICEF also contributed towards increasing awareness of CFSI.

4.5.3 CFSI: expected implications for organisational practices

The following sub-sections present an analysis of the expected implications of CFSI for school organisational practices such as decision-making, school-community

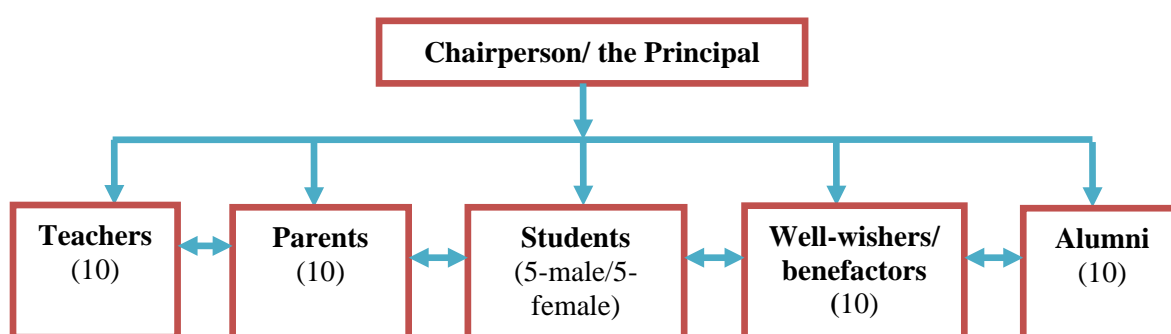
collaboration, school-based planning and SBTDPs. It also presents an analysis of its expected implications for students' access, participation and learning.

4.5.3.1 CFSI: changes in decision-making structures and autonomy

The decision-making structure of CFSI comprise two main bodies: the CFS Committee (CFSC) and the School Attendance Committee (SAC). However, these are recommended bodies. The CFSC is a working group to conduct SSAs to identify planning priorities through analysis of data on the basis of CFS criteria and observations. This annual exercise was aimed at developing the CFS plan through a participatory approach. The CFSC works with the notion that 'this is our school'. It comprises the principal (Chair), teachers, parents, students, past pupils and well-wishers/benefactors but the membership is flexible. Involvement of students is an outstanding feature of CFSI (DP2). It appears that CFSI appreciates students' perspectives in making school decisions, which materialises through the composition of CFSC for SSA, and hence, in the identification of priority needs and planning.

The CFSC is depicted in Figure 4.2 below.

Figure 4.2: Structure of the CFSC for SSA



Source: author.

SAC chaired by the principal and served by a few teachers, parents and government officials¹⁸, is responsible for reviewing enrolment and attendance of children

¹⁸In general, the government officials consist of the *Samurdhi* Development Officer, the *Grama Niladhari* and the Family Health Officer. *Samurdhi* is a national, poverty alleviation programme initiated in 1994. The SDO assists the beneficiaries to improve their contribution towards economic development. The GN is responsible for the administrative matters of a village. These officers represent various Ministries.

and locating Out-of-Schoolchildren (OOSC) of school-going age (DP2). SAC should identify measures to address irregular attendance, prolonged absenteeism and enrolment issues and help the school to ensure the provision of rights-based and inclusive education for all.

The CFSI framework influences schools to make school-based decisions on educational and nutrition programmes, necessary infrastructure to improve protection and teacher development. Through her observations, PO2 confirmed that in practice, ‘CFSI is a quality-focused school-based initiative and it has implications for school management’. However, no specific power is transferred to schools in regard to CFSI. Instead, all CFSI related decisions are arrived at by the school management through deliberations between the principal and teachers within the prevailing management and financial autonomy transferred to schools. PO7 explained that, being the Zonal Coordinator of CFSI and at the same time the representative of SDCs (of PSI) in several schools, he attempts to find solutions for the issues of CFSI through the SDC.

4.5.3.2 CFSI: forging collaboration between school and community

CFSI encourages the involvement of community

- in assessing the status of the school on the basis of child-friendly criteria, identification of priorities, preparation of CFS plans and setting targets to achieve CFSI objectives through the SSA,
- in plan implementation, analysis of data, monitoring of timely progress and compilation of reports, and
- in creating child-friendly homes and a child-friendly community.

As a consequence, CFSI ensures mutual benefits between the community and the school.

4.5.3.3 CFSI: planning, curriculum and infrastructure

CFS plans need to incorporate programmes to improve access to education and participation in educational and extra-curricular programmes, health and nutrition status,

safety and protection, and the performance of girls and boys. They also address the issues of lack of resources and of basic physical facilities.

Improvements in curriculum and extra-curricular activities

CFSs should provide diverse learning opportunities to meet the needs of children including those who are at risk of dropping out, those with disabilities and those who are gifted in learning. Third dimension of CFSI underlines the need for enabling children to acquire appropriate learning outcomes and to be academically effective. Therefore, CFSI influences schools to offer a dynamic learning experience to children through the curriculum adapted to bring in the local environment, culture and knowledge (MoE, 2008b). CFSI also encourages teachers to deliver the curriculum using child-centred teaching methodologies. They should regularly assess essential learning competencies and ensure that each child achieves mastery levels.

Physical learning environment

CFSs should have a safe, protective learning environment and motivated teachers with high morale. CFSs influences schools to provide child-friendly classrooms with proper light, ventilation, classroom stages and reading corners and open activity rooms; clean drinking water and proper sanitary facilities in order to promote an inclusive, democratic, stress-free atmosphere conducive to learning.

4.5.3.4 CFSI: change in the role of the principal and of teachers and SBTD

CFSI influences the roles of principals and teachers in several aspects. The principals and key-teachers of the CFSs were trained by the UNICEF and government officials aiming at the improvement of their academic capacity and instructional roles to suit child-friendly schools and to enable them to effectively coordinate the school and community. However, trainers faced difficulties in changing principals' attitudes due to their strong attachments to administration. Teachers were made aware of the importance of maintaining a journal on their pupils' behaviours and supporting children in acquiring learning. UNICEF and NIE have developed various e-resources in this connection and have shared with CFSs expecting a change in the roles of teachers (DP2). Watching one such video presentation of a teacher working in a classroom while helping a stubborn

child to learn, I realised that these resources are extremely useful for teachers to learn about the concept of inclusiveness.

CFSI also requires principals and teachers to continuously improve their own capacities through the opportunities provided to them and also through their own initiatives. Therefore, SBTD is a compulsory component of CFSs. Teachers' engagements in collecting, analysing and interpreting data on CFS criteria undeniably improve their capacity in evidence-based decision-making (PO5; PO7).

4.5.3.5 CFSI: Effects of CFSI on students' access, participation and learning

The fundamental principle underlying CFSI is that every child has a right to obtain an education regardless of their socio-economic, ethnic, language, gender and cultural differences and their physical and mental status. Therefore, CFSs are expected to envisage inclusiveness in education. CFSs will have effective mechanisms for improving enrolment, attendance, retention and ensuring rights of children to education. They also will emphasise equal opportunities for girls and boys to learn, to engage in curricular and extra-curricular activities and to complete primary education. Further, CFSs will provide a child-friendly environment with opportunities for children for meaningful participation in learning as guided by qualified teachers. CFSs are obliged to offer children a safe and protective environment, adequate food, water and well-maintained hygienic conditions. Moreover, CFSs promote participation of families and communities in support of children's learning at school and at home. Finally, CFSI emphasises that CFSs will be guided by appropriate policies on access, participation and student learning (DP2; PO2; UNICEF, 2009b).

4.5.3.6 CFSI: Key assumptions of CFSI and issues

The key assumptions of CFSI centres on the principle of securing the rights of children to equitable opportunities for education and enabling them to achieve the required learning outcomes. However, CFSs might face challenges when some children do not enrol and continue their education, and the school community is unable to track such children and re-enrol them. If CFSs do not provide a rich, friendly learning environment for girls and boys alike, again the CFSI principles will be in question.

National policies and pedagogy may incorporate a rights-based approach and child-centred methodologies. However, for various reasons, their applications may be challenged. A lack of qualified teachers and resources, a lack of commitment by school communities, and social trends such as coaching students to get through G5SE are such common reasons. For example, resource constraints might hinder schools from providing a safe, protective and friendly learning environment. Therefore, the establishment of a precise mechanism for funding schools is necessary so as to ensure the sustainability of CFSI because schools cannot merely depend on a development partner or community financing. The absence of a permanent and legitimised decision-making structure for CFS decision-making might have lessened the strength of community involvement in management. However, it could be resolved by linking CFS with existing management structures. Therefore, the integration of CFS principles with the prevailing school management practices in Sri Lankan schools is essential.

4.6 Conclusion

A comparison of expected implications for policy and outcomes, school organisational practices and the effects of PSI and CFSI are concluded in Tables 4.1, 4.2 and 4.3 respectively.

Table 4.1: Expected implications of PSI and CFSI for policy and outcomes

Dimension	PSI	CFSI
Policy orientation	Devolved autonomy for school decision-making	Child's rights-based approach to school management
Objectives	Improving overall quality of education	Ensuring equitable opportunities in education
Learning environment	Efficient use of resources and effective learning programmes	Ensure safety, protection, friendliness, health promotion
Outcomes	Student performance	Student performance

Table 4.2: Expected implications of PSI and CFSI for organisational practices

Dimension	PSI	CFSI
Decision-making structures	Permanent decision-making structure (SDC) with an elected membership to make all key decisions.	Flexible body (CFSC) to ensure participatory planning through SSA.
	SMC to implement SDC decisions.	SAC to ensure children's right to schooling.
Community collaboration	Encourage community participation in decision-making and implementation of school programmes.	Encourage community in planning and implementation of school programmes.
Planning and financial management	Needs analysis, participatory approach, efficient resourcing; transparency and accountability.	CFS criteria-based needs analysis, wide participation, depends on existing mechanisms.
Curriculum implementation	Adaptation of curriculum to meet the needs of learners and community.	Adopt child-friendly approach to curriculum implementation.
Professional development	Promote SBTD	Promote SBTD

Table 4.3: Expected effects of PSI and CFSI

Dimension	PSI	CFSI
Access and participation	General emphasis on access	High emphasis on access
Student learning	High emphasis on achieving student learning outcomes	High emphasis on achieving student learning outcomes.

The next chapter will presents the six school case-studies.

Chapter 5

Implementation and effects of PSI and CFSI in Sri Lanka:

School case-studies

5.1 Introduction

This chapter presents the school case-studies, analysing the data from the school participants. It addresses Question (b) In what ways is the Programme for School Improvement (PSI) policy being implemented and what are its emerging effects on access, quality and efficiency?, by analysing data from the principal, as well as from a teacher and a parent serving on the SDC (PSI-participants) in each school. Similarly, it addresses Question (d) In what ways is the Child-Friendly Schools Initiative (CFSI) being implemented and what are its emerging effects on access, quality and efficiency?, by analysing data from the principal, as well as from a teacher and a parent involved in CFSI (CFSI-participants) in each school.

5.2 School case-studies

The school case-studies provide unique insights into the implementation of PSI and CFSI in each of the six schools¹⁹. Accordingly, the participants' (see 3.3.2) definitions of the initiatives and the implications of each initiative for various organisational practices -decision-making; school-community collaboration; school development planning; and school-based teacher development (SBTD)- were analysed. Their emerging effects on access and participation, as well as on student learning, were discussed, while their effects on increasing efficiency in resource use were also discussed with relevant examples. Moreover, their contradictions and complementarities were analysed. Appropriate cross-references have been made to Chapter 4 to enrich the case studies even though it was impossible to cross check all the issues found, which is a limitation of the study. It is therefore admitted that these case studies are illustrative rather than representative, due to constraints of time and capacity.

¹⁹ The six school case-studies are presented using their pseudonyms (see 3.3.1; Table 3.1).

5.3 Mathura School (Type1C/urban)

This section presents the practices influenced by PSI and CFSI in *Mathura* school.

5.3.1 Programme for School Improvement (PSI)

This sub-section discusses PSI, which the school introduced in 2008.

5.3.1.1 Participants' views on expected implications of PSI

The participants' interpretations on PSI were as follows:

PSI empowers the school to make decisions, be responsible for the development of the school and to obtain community support in that....so we analyse problems and requirements, and decide steps to develop the school....we attempt to increase and maintain school resources and design novel programmes....(Principal).

.....with PSI, we identify the needs and expectations of students and parents, design programmes to accomplish them, considering practical and contextual parameters.....and monitor the progress continuously. PSI keeps the school alert on improving infrastructure and developing teachers' professional capacities.....(Teacher/PSI).

PSI aims at achieving the school's future objectives and sustainable development through an improved environment and facilities, which will eventually help improve children's performance (Parent/PSI).

Mathura has had an institutional-based awareness programme on PSI in 2008 which appears to have influenced the participants to capture a substantial understanding of the objectives of PSI and their obligations within PSI towards school development.

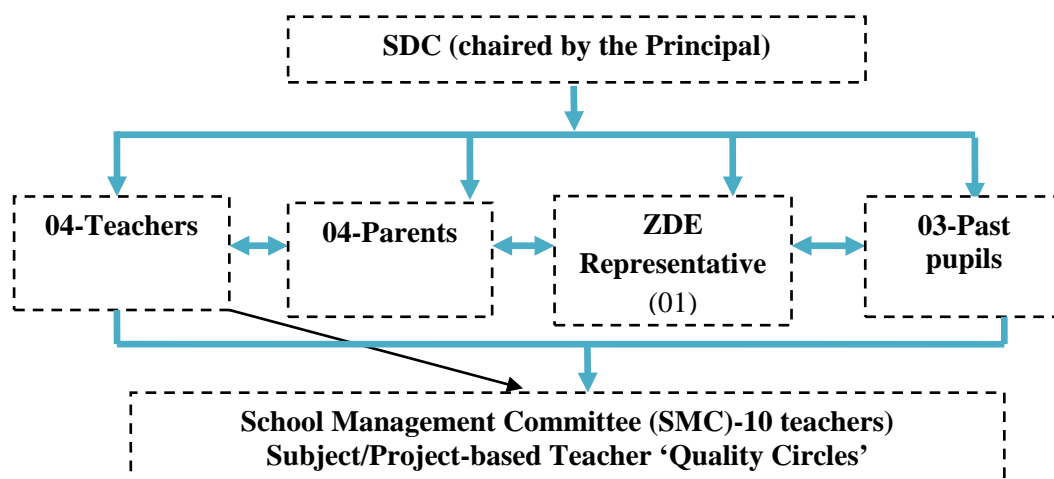
5.3.1.2 Decision-making

The Principal had taken the opportunity to form a strong School Development Committee²⁰ (SDC) which could provide leadership to the school community. She had requested the teachers and parents to elect 'active and committed' representatives for the

²⁰ SDC: the decision-making body under PSI (see 4.4.3.1, b)

SDC as it was vital to achieve school goals. The Secretary/SDC and Treasurer/SDC were elected from parent- and teacher-members, respectively. The SDC minutes confirm that it meets monthly. The new decision-making structure is shown in Figure 5.1.

Figure 5.1: Decision-making structure under PSI –*Mathura School*



The Teacher/PSI (Treasurer/SDC) explained that,

.....we feel that we are in this committee with a special duty to fulfil. This is an attitudinal change.....more than parents, as teachers we know all the needs of the school.....

The parent/PSI (Secretary to both SDC and SDS²¹) stated the impact of this collaboration as follows:

.....the total investment in most of the projects is worth five times more than the government grants.....We are all committed to ensuring students' safety and we work with the feeling that 'all are our children; this is our school'. Deliberations at SDC promote this mentality among parents.....

SMC (4.4.3.1,d), which comprises 10 elected teachers, including the SDC's teacher-members, functions through 'teacher quality-circles' in designing and implementing various projects. Reportedly, the new machinery functions well; it has promoted collaboration, a sense of ownership and transparency in school

²¹SDS: the School Development Society (MoE, 1982) (see 4.4.3.1,a).

management, however, it is dependent on the SDS to elect SDC's parent-members, in order to validate plans and approve major decisions.

5.3.1.3 Parent and community participation

PSI was recognised as a bridge between school and community, which benefits both parties. The principal attempted to address parents' concerns and meet their expectations through the SDC's agenda (Principal) and the principal's firm leadership and cordial management style was appreciated by the parents. The SDC provided a strength to the principal to face external challenges and resource issues while in recognition of the committed services rendered by the school all parents supported the school regardless of their own socio-economic and educational status (Parent/PSI). This support was evident in various areas, especially in contributions towards the construction and maintenance of infrastructure, which has resulted in an increase in resources and also in efficiency in resource use through increased transparency. However, Teacher/PSI stressed that the school cannot be over-dependent on the parents and hence the need for an adequate annual grant from the government.

5.3.1.4 School development planning

The school's Annual Plans (2011; 2012) follow the ESDFP²² framework putting an emphasis on improving student access, health and participation, developing school infrastructure and expanding student-based projects on core subjects: first language, science, mathematics, English; extra-curricular activities; and student counselling. Moreover, teacher- and managerial-based capacity development programmes were included.

The initial plan was prepared by the principal in coordination with the teachers. They used School Self-Assessment (SSA of CFSI) (see 4.5.3.1) findings in that process. Then the SDC has finalised the plan. Upon the approval of the Zonal Director, the SDC leads plan implementation. Despite the scarcity of resources, most of the planned activities are implemented with the exceptional support of the parents, which add value

²²ESDFP: Education Sector Development Framework and Programme (see 1.1)

for money, thus adding resources and benefitting students considerably. Therefore, PSI, in the long-run, contributes to increased cost-efficiency (see 2.2.3.3).

5.3.1.5 Role of the principal and teachers and SBTD

The Principal and the Teacher/PSI stated that PSI has brought a positive transformation to the roles of school professionals by increasingly engaging them in decision-making on the improvements required in pedagogical processes and overall school development. These engagements influence the principal and teachers to give care and concern to students, to arrange special programmes in support of children with learning difficulties and to encourage parents to provide learning support at home. Teachers increasingly engage in designing and implementing projects on various areas through ‘Quality Circles’ and they use the findings of SSA and SAC in them (Principal; Teacher/PSI). They share their expertise on effective teaching and assessment methodologies. Despite these reported changes, purposively organised SBTDPs are not prevalent.

5.3.1.6 Access to schooling and participation

Data suggested that as an effect of PSI, access to schooling was being promoted. The SDC discussions focus on issues of attendance, retention and performance and the reasons for them. Most of these issues are caused by families’ economic difficulties. Hence, the SDC has arranged free luncheons for needy students, catch-up sessions for irregular attendees and parental awareness sessions on these issues. It was suggested that PSI should be strengthened to provide students with work-related skills through establishing links between the school and wider society, as a safety net for the drop-outs at the secondary stage due to poverty.

5.3.1.7 Student learning

The SDC, reviewing students’ performance through examination results and School-Based Assessment (SBA)²³ scores, was reported to have guided teachers to:

²³SBA is a teacher-based formative evaluation (a mandatory requirement) advocated through the national curriculum for identifying students’ acquisition of learning competencies.

- take special measures to improve the reading and writing of low-performing students and to extend learning support through peer students in their neighbourhoods (Teacher/PSI).
- conduct additional teaching in core subjects (see 5.3.1.4), using the science laboratory and library (Parent/PSI).
- address parents' inquiries about children's performance, thus increasing accountability (Principal).

Therefore, it would appear that, SDC has stimulated the processes for improving students' learning and as a result, students' learning time is increased and learning at home is promoted.

5.3.2 Child-Friendly Schools Initiative

The following sub-sections explain the influence of CFSI.

5.3.2.1 Participants' views on expected implications of CFSI

CFSI-participants' views were that CFSI

.....emphasises the rights of children to equal educational opportunities, forges links between school and parents, and provides a friendly learning environment for children (Principal).

.....guides teachers to create an attractive school environment, ensures the well-being of girls and boys and helps to resolve learning problems (Teacher/CFSI).

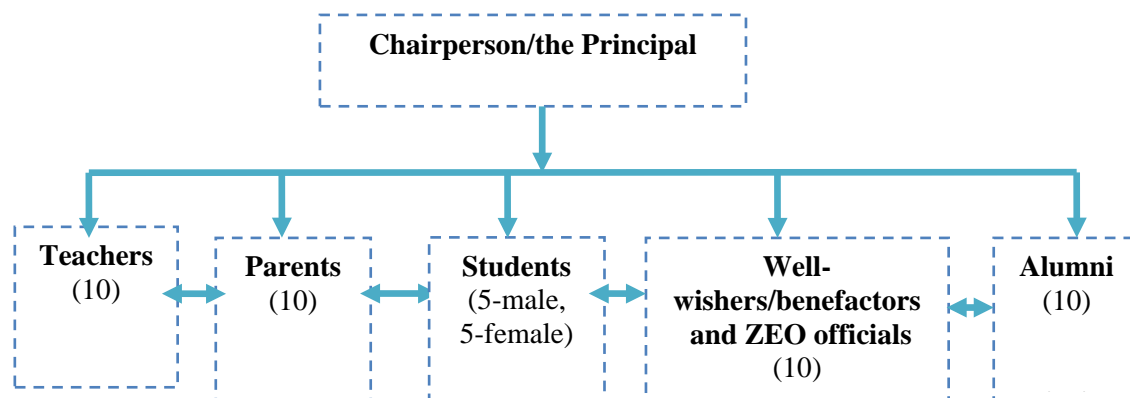
.....is helpful for understanding the legal background of a child's rights to education and the duty of parents to enrol their children in school and protect them from abuse or harassment (Parent/CFSI).

The participants had a reasonable understanding of the principles of CFS, which they had acquired through training programmes, SSA and deliberations at the school since its commencement in 2009. Their views highlight children's rights to access, progression and learning in an appropriate environment.

5.3.2.2 School decision-making

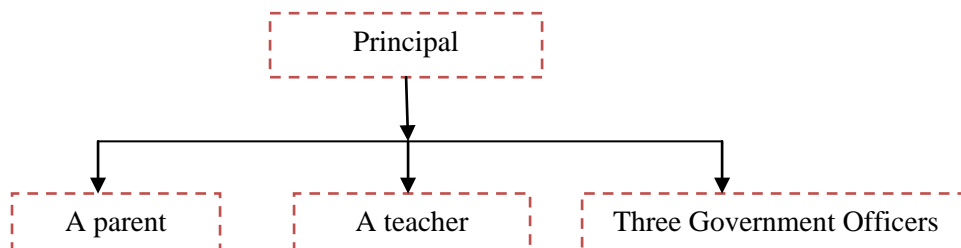
The decision-making bodies of CFSI comprise the Child-Friendly School Committee (CFSC) for SSA (Figure 5.2) and the School Attendance Committee (SAC) (Figure 5.3).

Figure 5.2: Structure of the CFSC/SSA-Mathura School



Source: author.

Figure 5.3: Structure of the SAC-Mathura School



Source: author.

The CFSC had conducted an SSA in 2010 and produced a CFS plan which was submitted to the Zonal Director and then to UNICEF. As a result, the school had received UNICEF funds to improve safety on school premises. The SAC consists of government officials (see 4.5.3.1), teachers and parents. It studies students' enrolment related issues and raises awareness, among the school community, of the value of schooling.

However, reportedly, the CFSC/SSA has been a one-off exercise. Moreover, SAC has not met regularly.

5.3.2.3 Parent and community participation

Data suggests that parents have contributed considerably towards meeting the child-friendliness criteria by improving primary classrooms with stages, reading corners, light and ventilation; constructing safety walls and sanitary facilities; painting classrooms, furniture and walls; organising functions and extra-curricular activities; and providing learning materials to the school. The SDC's motivation and teachers' commitment influence parents to increasingly intervene in school development projects and day-to-day processes. For example, each primary classroom is daily cleaned and organised by mothers (Teacher/CFSI; Parent/CFSI). Teachers never penalise any child for their parents' inability to help the school, since the majority of parents are farmers with an unstable income. This situation has resulted in building trust between the school and the parents and this is demonstrated by the low rate of out-ward migration of students. Moreover, parents are ready to provide additional resources if the government provides a basic annual grant (Parent/CFSI).

5.3.2.4 School development planning

The SSA, held in 2010, provided inputs for the CFS Plan and also for the Annual Plan for subsequent years. The CFS Plan was developed by the principal, in consultation with primary teachers as a component of the Annual Plan-2012 (Teacher/CFSI). It envisions 'a school with healthy and happy children; teachers who love and care for children; equal educational opportunities for girls and boys; and increasing participation by the community'. It incorporates nutrition campaigns, reward systems of attendance, student welfare programmes, field visits and physical development programmes. The principal presents the plans and their progress to SDS (see 4.4.3.1, a) and this demonstrates the emphasis put on ensuring accountability.

5.3.2.5 Role of the principal and teachers and SBTD

Awareness of the principles of CFSI has appeared to have encouraged teachers to apply gender responsive, child-centred methodologies which treat all students alike. The discourse on the attributes of a child-friendly learning environment, a child's rights, and engagement in CFS criteria-based analyses have resulted in the improvement of teachers'

analytical skills. School-based clinical supervision, lesson planning and model teaching sessions have helped strengthen the child-centred teaching practices of teachers (Principal; Teacher/PSI). Therefore, it seems that, CFSI is positively influencing the professional experiences of teachers.

5.3.2.6 Access to schooling and participation

CFSI is, to a reasonable extent, influencing teachers to identify children with poor attendance and lack of active participation in learning. The SAC analyses these issues and informs the principal and SDC about them (Parent/CFSI), and SDC has arranged the subsidy programmes, reward systems, remedial teaching programmes and health camps to improve the situation (Principal). Teachers increasingly apply child-friendly teaching and learning methods and this greatly helps to increase the students' participation in learning (Teacher/CFSI).

5.3.2.7 Student learning

Mathura has won productivity awards for its academic performance in the recent past (Parent/CFSI). It has a committed teaching staff. On top of that, CFSI insists that the teachers should give special and empathetic care to children from difficult backgrounds. Following the CFSI indicators (see Appendix 4.4) SBA data are used for exploring the status of each individual student's learning and to support them to achieve the Essential Learning Competencies. Participants believe that these measures improve student learning.

5.3.3 Integration of PSI and CFSI

In *Mathura*, the PSI committees (SDC, SMC) use information revealed by the CFSI committees (SSA, SAC) in preparing the Annual Plans and projects. Moreover, the SDC coordinates all projects under CFSI and hence, according to the Principal, 'the SDC helps to make CFSI a reality'.

5.3.4 Conclusions

Participants are substantially aware of the core messages of the initiative in which they were interviewed and their views concur with what the relevant policy-officials stated about the initiatives (cf. 4.4.3; 4.5.3). This is a positive sign of transforming the initiatives into practice. All the decision-making committees are inter-related and inter-dependent in practice. For example, the SDS validates the SDC's decisions; the position of secretary to both the SDS and SDC is held by one of the teachers; SDC members take part in the SSA; the SDC uses the SSA findings in planning; and the SDC coordinates all projects under PSI and CFSI.

Data suggests that in this context, both PSI and CFSI have improved school-community collaboration and contributed to increasing the resources through the support of the parents. However these initiatives have created parallel planning processes. The principal provides the leadership in the integration of the plans. Apparently, CFSI has more influence than PSI on identifying access-related issues and increasing attendance. Both CFSI and PSI influence learning improvement programmes, while CFSI's effects are mainly confined to primary education.

5.4 *Pabala School* (Type 1C/rural)

This section analyses the case of PSI and CFSI in *Pabala* school.

5.4.1 Programme for school improvement

This sub-section discusses PSI which commenced in 2008.

5.4.1.1 Participants' views on policy expectations of PSI

PSI-participants' views were as follows:

PSI provides a better opportunity for teachers, parents and past pupils to make decisions collaboratively and work for the future development of the school (Principal).

PSI promotes collective, democratic and transparent decisions on financial and management matters (Teacher/PSI).

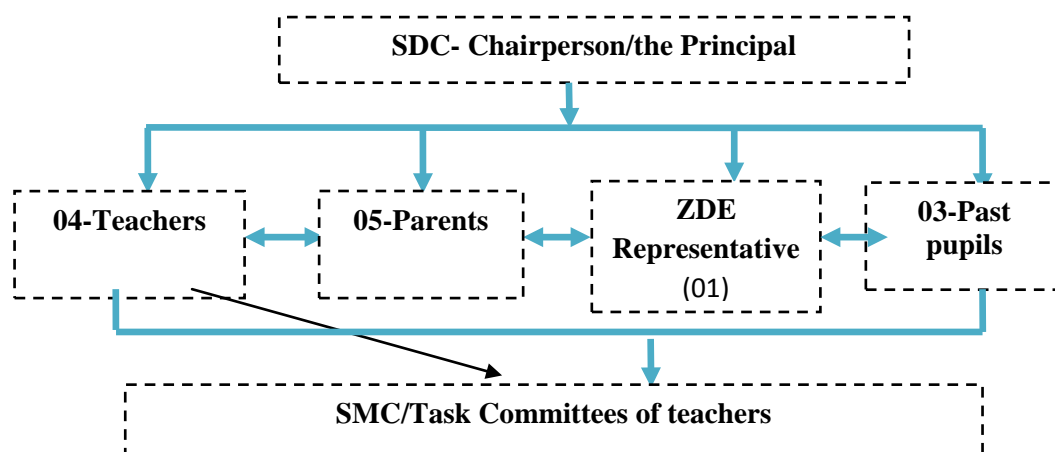
PSI enables the school to become an ‘effective school’ (Parent/PSI).

The participants understand the fundamental objectives of PSI and the parent/PSI sees it from its expected impact.

5.4.1.2 School decision-making

The SDC (Figure 5.4) of *Pabala* school meets monthly and reviews plans, budget proposals and financial progress, and coordinates all the projects.

Figure 5.4: Decision-making structure under PSI –*Pabala* School



Source: author.

Most of the school projects are financed through the SDS account (Teacher/PSI; Parent/PSI) for which funds are mainly raised by parents and hence the principal believes that it is essential to ensure that those funds are used for the declared purpose. The SDS has around 500 parents in its membership and SDC relies on it for approval of plans and financial decisions thus ensuring the transparency and accountability. PSI has strengthened school management. For example, the SDC was able to mitigate issues through alternative solutions such as recruiting temporary teachers to address the teacher shortage and paying through the PSI account (Teacher/PSI). However, the Zonal Representative participation in SDC is not sufficient. Moreover, the SMC's task

committees delegate responsibility to each teacher; for example, in designing and implementing school projects (Principal; Teacher/PSI), and this increasingly involves teachers in decision-making.

Besides these official structures, prospective parents willing to enrol children in Grade 1 in this school have formed clubs and raised funds to support the school, which has had a classroom built through this way. However, these funds are not remitted to the school accounts and therefore could raise an issue of asset verification and transparency.

5.4.1.3 Parent and community participation

The majority of parents of *Pabala* School are of agro-based, low or lower-middle income levels and they represent the SDC. However, these parents help in improving the school buildings and maintaining school garden (Parent/PSI; Teacher/PSI). Parents' participation in decision-making is ensured to a greater extent through PSI compared to the past. Furthermore, children from such low-income families are specially supported through material clubs and through teachers bearing the costs for such children, of the academic and extra-curricular activities (Teacher/PSI).

5.4.1.4 School development planning

The Annual Plans (2011; 2012) follow the ESDFP themes. The Annual Plan (2012) was aimed at improving students' attendance and quality of education. Therefore, it incorporated projects on nutrition and health; reading, mathematics, English, science and economics; extra-curricular activities; and teacher development. Special attention was given to upgrading physical facilities.

The principal and sectional heads prepare a draft plan incorporating the proposals made by the teachers, every year. The SDC reviews the plan and hence the SDC parent-members are aware of its contents (Parent/PSI). Reportedly, the plan is financed by the governments' quality input grant, parents and UNICEF.

5.4.1.5 Role of the principal and teachers and SBTD

With PSI, the principal himself has experienced a positive change with his wider involvement in development-oriented negotiations with parents and stakeholders and in decision-making. Further, he plays a mediatory role between the SDS and the SDC in order to improve clarity of decisions. PSI has provided an opportunity for the school to increase its transparency in decisions and accountability to the villagers, which the principal appreciates since it helps him personally also to earn the respect of parents, as he is a resident of the same village.

Data suggests that, with PSI, the teachers' involvement in the decision-making and development processes has increased by means of representing the SDC and SMC. Also, school-based professional development opportunities are created through increased involvement in the planning and implementation of various projects. However, organised SBTD programmes are not in place.

5.4.1.6 Access to schooling and participation

The school attempts to increase participation through developing model classrooms with an attractive environment, implementing nutrition programmes, delivering subsidies on time and identifying and re-enrolling OOSC. Participants stated that basic literacy programmes focused on weak students and performance enhancement programmes critically help increase the participation of students in learning.

5.4.1.7 Student learning

In *Pabala*, examination pass-rates were low in recent years, due to students' lack of commitment and some more able students' outward migration (Teacher/PSI). The SDC has continuously encouraged teachers and parents to find any possible means to address these issues through PTAs. Accordingly, additional teaching sessions at school and home-based remedial programmes through parents have been arranged (Parent/PSI). The school runs an Assignment Bank for GCE/AL students as a measure to promote self-learning (Teacher/PSI). Therefore, gradual improvements are evident in terms of adults' attention towards student learning and processes of learning, after PSI.

5.4.2 Child-Friendly Schools Initiative

This sub-section presents the case of CFSI in the *Pabala* school.

5.4.2.1 Participants' views on expected implications

The views of CFSI-participants were that CFSI

.....is an approach towards converting the school into an attractive and protective place for all the children (Principal).

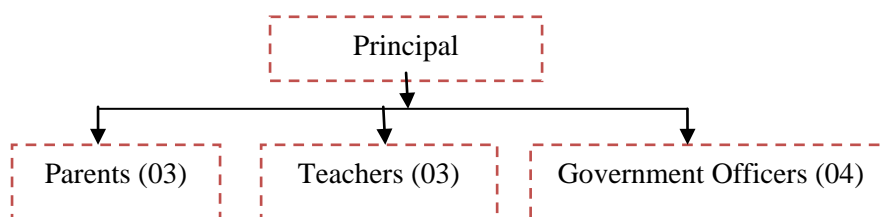
.....aims to promote compulsory education for all children through a plan based on six dimensions. It ensures students' moral development and personality development even in difficult circumstances.....it encourages teachers to see the school environment beyond the classroom and strengthens links between school and community..... CFS is an approach to ensure accountability and promote positive attitudes (Teacher/CFSI).

.....promotes students' participation in learning.... it urges parents and teachers to work together to support the students (Parent/CFSI).

The participants' views together form a comprehensive concept for CFSI which underlines its principles. They had acquired such understanding through their participation in the SSA in 2009. The Teacher/CFSI had largely contributed to initiating CFSI in the school.

5.4.2.2 School decision-making

The school established a CFSC in 2009 with the principal (Chairman), teachers, parents, well-wishers/benefactors, past pupils, students (Prefects) (ten from each of these groups) and zonal officials to conduct the SSA (Parent/CFSI). Its structure is similar to that of Figure 5.2 above (cf. 5.3.2.2). Reportedly, SSA had discussed the CFSI dimensions and the gaps that needed to be filled at the school in order to make it child-friendly. As a result, a CFS plan was produced. The dialogue that was initiated motivated parents and community members to help the school to address the gaps. The school established an SAC, whose composition is given in Figure 5.5 below.

Figure 5.5: Structure of the SAC- *Pabala* School

Source: author.

Neither CFSC nor SAC have a permanent membership, and they do not function regularly. Given this background, all programmes under CFSI are coordinated by the SDC.

5.4.2.3 Parent and community participation

The CFSI was reported to have promoted a culture of parents working together on school needs, although this is limited to the primary section. Parents make critical and positive comments on school activities and also solicit support through volunteer organisations, past-pupils and the wider community in improving physical environment and resources (Parent/CFSI). Teachers welcome parents irrespective of their socio-economic or education levels, and as they understand the economic difficulties in some families, they treat all students alike and never penalise such children, which would go against their rights and opportunities (Teacher/CFSI).

5.4.2.4 School development planning

The working groups of the SSA (see 5.4.2.2) had identified the need for improving basic facilities. In addition to the annual plan, Teacher/PSI, the head of the primary section, had prepared the CFS Plan (2011) considering the SSA findings and teachers' proposals. This plan aims at ensuring a gender-responsive learning environment, improving student performance and improving learning spaces. The CFS plan is reviewed by the SDC prior to its submission to Zonal Director for approval and sharing with the UNICEF. However, Teacher/CFSI admitted that,

...preparing two plans was a waste of our time. It creates confusion.....therefore, they need to be combined considering the ESDFP priorities and CFSI dimensions.....

Table 5.1 summarises his views.

Table 5.1: ESDFP and CFSI: a combined framework

ESDFP Themes	CFS Dimensions		
Increase access and participation	Rights-based; proactively inclusive (D1)	Equal opportunities for girls and boys (D2)	Healthy, safe and protective of children (D4)
Improve the quality of education	Improving learning outcomes (D3)		
Enhance equity and efficiency of resource allocation	Child-friendly systems, policies and regulations (D6)		
Strengthen service delivery and management	Actively engaged with students, families and communities (D5)		

Source: author.

This framework could be used to harmonise PSI and CFSI plans.

5.4.2.5 Role of the principal and teachers and SBTD

Awareness of CFSI dimensions and the attempts to transform these into practice have resulted in improving knowledge, changing attitudes and expanding the role of the principal and teachers. CFSI has influenced the teachers to work in teams and share their expertise with the teachers of neighbouring schools. These practices help them gain professional experience (Principal; Teacher/PSI). However, apparently, formal SBTD programmes are not implemented.

5.4.2.6 Access to schooling and participation

Data suggests that *Pabala* has taken several measures to improve access and participation by students. The SAC attempts to identify access-related issues while the SDC takes steps to raise awareness of the wider community regarding the adults' responsibilities in ensuring a child's rights to education. Further, the safety committee serves the children's safety both in-side and out-side the school. Moreover, the school counselling programme guides teenagers to improve their socio-psychological stability (Principal). With CFSI, the school is attempting to reduce OOSC and ensure equal opportunities for children, avoiding any type of discrimination.

5.4.2.7 Student learning

It appears that the knowledge of CFSI influences teachers to have a dialogue with parents as an essential responsibility and focuses attention of both groups on students' learning difficulties. As a result, remedial teaching classes (e.g. in languages and mathematics) for low-performing primary students are held at the school in collaboration with parents while home learning also has been encouraged. Materials provided from UNICEF are used in these programmes. CFSI has promoted children's participation in extra-curricular activities, and has also influenced teachers to change the environment to have clean classrooms with reading materials, the out-door play-parks and the activity areas which encourages children to learn actively (Teacher/PSI; Parent/CFSI). These attempts are positively changing students' literacy and subject-based performance.

5.4.3 Integration of PSI and CFSI

PSI has adopted a holistic approach to management, while CFSI has influenced the school management to make academic, development and management decisions on a fair basis (Principal). The SDC coordinates the CFSI activities and that ensures that these two initiatives are combined organically.

5.4.4 Conclusions

The principal and the teachers of *Pabala* school had acquired a reasonable level of understanding of the core idea of the initiative about which they were interviewed. The parents who were interviewed understood the initiatives from the expected outcomes on student learning. The school was reported to have a strong SDC, while for major decisions, it depends on the SDS. The SMC plays a development role. Both PSI and CFSI have contributed to significantly increasing the parents' contributions towards the school. Prospective parents also raise funds for development activities, though these are not sufficiently transparent. A dual planning approach is prevalent, resulting in two separate plans. PSI has increased the principal's consideration on transparency in management and financial decisions while CFSI has improved his knowledge of rights-based education. Both PSI and CFSI were felt to have changed teachers' roles, but systematic SBTDPs are not evident.

It seems that CFSI has a greater influence in improving access and participation than PSI has. Nonetheless, both initiatives have generally encouraged learning improvement programmes. CFSI mainly influences primary education; however, the effects of CFSI and PSI on student learning are not significant.

5.5 *Chitra* School (Type 2/urban)

This section presents the case of PSI and CFSI in *Chitra* school.

5.5.1 Programme for school improvement

This sub-section discusses PSI in *Chitra* school.

5.5.1.1 Participants' views on policy expectations

The views of the PSI-participants were that PSI

.....helps to make decisions at school-level along with its community and to take early action to solve problems. It provides opportunities to understand children and their background and to fulfil their learning needs.....and fill the resource gap through the parents' help since the school cannot survive only on government support (Principal).

.....guides school personnel to gradually develop the quality of the school (Teacher/PSI).

.....links the community and past pupils in school management (Parent/PSI).

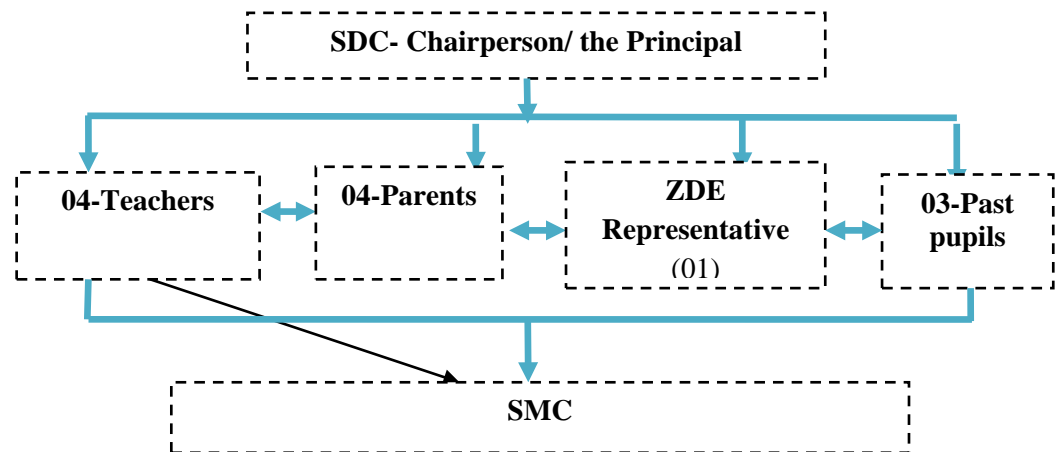
The Principal perceived PSI in a broader sense while the other participants provided basic views which showed their lack of involvement in PSI despite their being members of SDC and having received training in 2009.

5.5.1.2 School decision-making

Chitra school commenced PSI in 2009, followed by a special advocacy session of zonal officials. The SDC (see Figure 5.6) is represented by parents from four different villages and that enhances democracy in the parents' participation in decision-making. However, it does not fully follow the PSI guidelines, as a past-pupil has been appointed

as the Secretary/SDC instead of a parent, and the SDC's meetings are not regular. The SDC frequently invites well-wishers to its meetings as a way to seek assistance. The SMC does not function. Moreover, it is the deputy principal who plays an active role in practising PSI and other initiatives, rather than the principal.

Figure 5.6: Decision-making structure under PSI –Chitra School



Source: author.

The SDC is regarded as a platform to discuss pedagogical matters, students' performance and shortages of resources, and it has led several projects for improving infrastructure and children's academic performance, in collaboration with parents. However, some decisions are still made by the principal and deputy principal without referring to the SDC (Teacher/PSI).

5.5.1.3 Parents and community participation

Most of the development programmes, such as construction of buildings, repairs and the extension of basic facilities, which are funded by the government, development partners (e.g. UNICEF) and SDS are coordinated by the SDC with community support (Principal; Teacher/PSI). Since PSI, the dialogue between teachers and parents has increased, which helps in identifying gaps in teaching, resources and performance (Parent/PSI). Therefore, it appears that PSI contributes towards building a sense of ownership and mutual understanding between school and community.

5.5.1.4 School development planning

The *Chitra* school's Annual Plan (2012) was confined to a list of activities compiled by the deputy principal based on teachers' proposals on annual sports-day, concert, and literacy day, as well as on nutrition programmes and the improvements of basic physical facilities. Following the approval of the Zonal Director, the SDC discusses the plan with the parents and well-wishers/benefactors seeking possible contributions for its implementation. As a result of their assistance, the level of resources has been increased.

5.5.1.5 Role of the principal and teachers and SBTD

Chitra school is a popular school with a demand for student admissions. The principal believes that PSI promotes collective decisions and that this minimises the challenges. The Teacher/PSI finds a change in her role with her involvement in the SDC as the Treasurer. The majority of the other teachers are also engaged in development activities in collaboration with the community. In addition to these experiences, teachers share knowledge gained at seminars with colleagues while also participate in sessions on ICT and English language after school (Teacher/PSI).

5.5.1.6 Access to schooling and participation

Chitra school has been facing low-attendance due to children's illnesses. SDC, paying attention to these issues, has organised periodical dental and medical clinics and a weekly nutritional meal programme for the whole school (Teacher/PSI).

5.5.1.7 Student learning

Teachers present students' performance data and learning difficulties revealed through the school counselling service at the SDS, and resulting from these, the SDC has coordinated need-based learning enhancement projects; for example, a language proficiency project focusing on poorly performing students who do not receive adequate home learning support from parents for various reasons. To encourage this particular project, the school community has donated a library. Teachers organise quizzes and

drama competitions, provide homework assignments and also provide newspapers and magazines to motivate students in reading and writing (Teacher/PSI). Therefore, reportedly, teachers play a central role in achieving student learning related objectives of PSI.

5.5.2 Child-Friendly Schools Initiative

This sub-section discusses CFSI in *Chitra* school.

5.5.2.1 Participants' views on expected implications

Participants viewed CFSI as an approach that helps to:

improve students' learning within a friendly environment (Principal).

make sure that pedagogical and social aspects are friendly to children (Teacher/CFSI).

change school into an attractive place which motivates children to come and learn (Parent/CFSI).

Participants understand the core idea of CFSI but their interpretations are narrow. They had taken part in the SSA while Teacher/CFSI had received a three-day training.

5.5.2.2 School decision-making

The SSA was held in 2010 through CFSC (teachers, parents, past pupils, well-wishers/benefactors and students, 10 from each group). The structure is similar to Figure 5.2 (and see 5.3.2.2), and its output was the CFS plan. The CFSC was not repeated annually, but the school functions a CFS financial committee comprising eight teachers and Head Prefects.

5.5.2.3 Parent and community participation

Data suggests that CFSI has inspired teachers' and parents' collaboration in organising extra-curricular activities such as sports-day and nutrition programmes.

Irrespective of their socio-economic and educational status, parents have become involved in various aspects in these programmes.

5.5.2.4 School development planning

CFSI-related programmes are incorporated in a separate CFS plan. Its programmes are aimed at improving school attendance, health habits and the physical environment, rehabilitating unsafe areas and to providing awareness among parents on child rights and CFS dimensions. The use of SSA findings or the involvement of parents in the planning process was not evident.

5.5.2.5 Role of the principal and teachers and SBTD

With the understanding of CFS dimensions and criteria, the teachers act proactively to secure children's right to education through a child-friendly environment, with the support of the parents, well-wishers and the Zonal Office. The principal has succeeded in acquiring a piece of land in order to expand the school, as a solution to the congested buildings. Teachers (in primary and secondary stages) individually and in teams engage in CFS criteria-based data collection and analysis, and that helps them to engage in an academic dialogue and to talk to parents with confidence. Teacher/CFSI stated that,

we share knowledge gained from seminars with colleagues.....CFSI encourages us to visit each others' classes, discuss and prepare materials together.....

It was observed that teachers engage in teaching and planning lessons until 4.30pm. This motivation needs to be enhanced to organise need-based SBTD programmes to help improve their professionalism.

5.5.2.6 Access to schooling and participation

The school does not face issues of retention but there is low attendance by some students, who are living with grand parents or relatives due to their mothers working abroad, and rarely, there are some OOSC in the area. Reportedly, teachers try and

convince parents/guardians about their children's regular schooling. Further, teachers, past pupils and parents visit homes to identify OOSC and make arrangements for them to continue schooling.

5.5.2.7 Student learning

In this school, buildings have been improved in relation to child-friendly criteria and thus secondary students are also benefiting from CFSI. Teacher/CFSI stated that,

.....classrooms were improved to have an attractive, interesting and stimulating environment which motivate children to learn.

Teacher/CFSI's data show that the conceptual knowledge of CFSI encourages them to treat children alike, be gender-sensitive, promote children's self-learning and increase parents' attention to children's learning. As a result of these efforts, she observes that increasingly children learn with self-confidence and a strong mentality of sharing and helping others. Therefore, positive effects are emerging.

5.5.3 Integration of PSI and CFSI

In *Chitra*, all teachers of the school engage in CFSI criteria-based analysis and that was reported as enhancing their knowledge of rights-based education. Moreover, Teacher/PSI, who is the Treasurer of the SDC, also engages in CFSI activities, while Teacher/CFSI is a member of the SDC and this evidence demonstrates the increasing collaboration between PSI and CFSI in practice.

5.5.4 Conclusions

Views of *Chitra* school participants in both PSI and CFSI are not comprehensive. In addition, the school does not show significant changes due to any of these initiatives in terms of school decision-making over development programmes, school-development planning and formal SBTD, except that the classrooms are improved as guided by the CFSI. The decision-making structure of PSI is not functioning properly while a separate financial committee is maintained for CFSI. The

parallel planning processes have resulted in two separate plans, but these are confined to lists of activities. Parents' contribution and teacher-parent collaboration is evident; however, the parents interviewed were not sufficiently aware of the initiatives. More than PSI, CFSI was reported to have added some changes to teachers' professional practices which were seen to be having an effect on improving students' attendance and participation in learning.

5.6 Ariya School (Type 2/rural)

This section presents the case of PSI and CFSI in *Ariya* school.

5.6.1 Programme for school improvement

This subsection analyses PSI in *Ariya* School, which is the first school in the zone to commence PSI.

5.6.1.1 Participants' views on policy expectations of PSI

The participants held the following views.

..... PSI is aimed at improving the quality of the school with contributions from the school community (Principal).

PSI is a methodology which systematises school management in order to develop the educational quality of the school with the help of the school community..... From the way the SDC discusses and attempts to find solutions, PSI promotes a dynamic form of management and dialogue which helps develop a practical and school context-specific programme (Teacher/PSI).

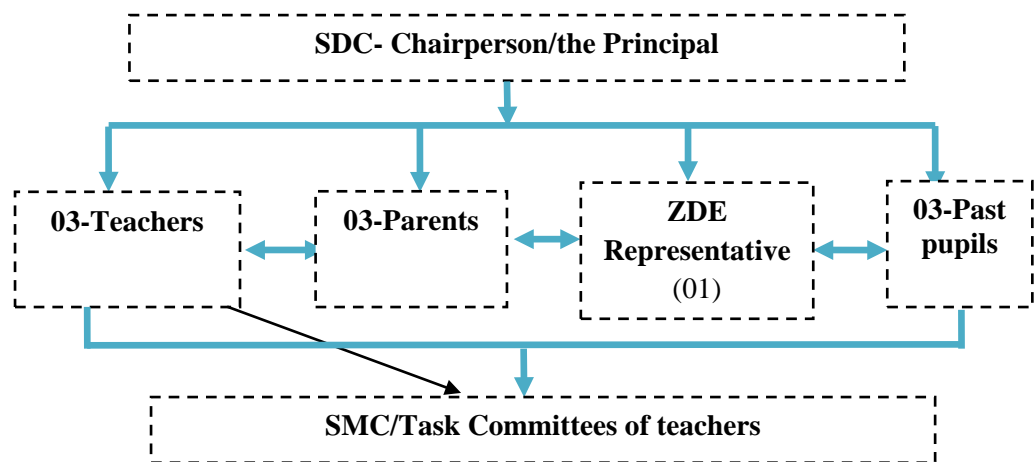
PSI improves the educational standards of the school through parents' collaboration (Parent/PSI).

Among the participants, Teacher/PSI understands PSI comprehensively from his knowledge acquired through the on-site awareness session held in 2008 with the school community and a group of principals from other schools. His definition demonstrates his involvements in PSI. The interpretations by the principal and the parent/PSI highlights the change expected from PSI in brief.

5.6.1.2 School decision-making

Reportedly, the SDC (see Figure 5.7) acts as the main body to make decisions through in-depth discussions between representatives. The SDC minutes confirm that it conducts a continuous dialogue on various aspects through well-attended monthly meetings; however, the Zonal Representative does not join all the meetings. Teacher- and parent-members of the SDC were elected separately at a staff meeting and a parents' meeting. The SDC coordinates the implementation of all projects.

Figure 5.7: Decision-making structure under PSI –Ariya School



Source: author.

The principal confirmed the positive effects of SDC as follows:

PSI changed the stakeholders' focus towards total quality development of the school. It helped me to make crucial but balanced and stronger management decisions in consultation with parents and teachers.....

The SDC endorses all procurement decisions made by the School Procurement Committee on improvements of buildings and the procurement of equipment and services within the thresholds stipulated in the PSI guidelines. The Minutes of these committees have been maintained since 2008. Moreover, SDC raises funds from all possible means, for example,

.....The SDC has approved the running of a school cooperative, a teachers' welfare society and a mini-bookshop from which the profits are credited to the PSI account.....(Teacher/PSI).

Therefore, PSI has added new strength to the school management. Further, the SDC is linked with the SDS for approvals for school plans and budget estimates prepared by the SDC (Principal; Teacher/PSI) and that ensures transparency.

5.6.1.3 Parent and community participation

The Principal explained that the SDC reaches relevant, rational and implementable decisions considering teachers' and parents' critical reflections on school performance and investment. The majority of parents represent average or low socio-economic groups but they support school projects with funds, in-kind resources and labour. The SMC has proactively educated parents on providing home learning support for children and many parents expect teachers to share children's performance-related information with them. The trust built between school and community persuades teachers to commit to developing students educationally and morally. 'PSI has promoted the feeling of "our school" and "our children" among parents'. Therefore, as an implication of PSI, collaboration and mutual understanding between school, parents and community were reported to have been increased.

5.6.1.4 School development planning

The principal and the senior management team drafted the Annual Plan (2012) and CFS Plan (2011) based on the proposals of teachers. The Annual Plan states the school's vision and mission, and incorporates programmes for increasing the performance of G5SE and GCE/OLs, improving physical facilities (e.g. library, home science room, sanitary facilities) and programmes on literacy, value education, agriculture and extra-curricular activities. The SDC reviews both plans and identifies the sources of funding for each programme.

A participatory approach to planning is evident. However, the delays in the Zonal Director's approval process has negatively impacted the plan implementation. Therefore, the principal has observed that the Zonal Director may authorise the SDC to undertake a criteria-based prior evaluation and submit recommendations to him/her facilitating the approval process.

5.6.1.5 Role of the principal and teachers and SBTD

The principal, being an active, committed and enthusiastic person, has earned the trust of the parents (Teacher/PSI). The principal himself believes that PSI provides a broad framework for him to understand and design a road map for the holistic development of the school; however, being quite new to the role of principal he expects to receive training on the innovative applications of PSI. With his experience he understands that PSI is urging him to be a democratic and dynamic leader for the whole school community.

The teachers' professionalism is enhanced through their team work in special projects, mentoring by senior teachers, the internal supervision programme and the School Quality Assurance Programme. However, there is not adequate evidence of formal SBTD programmes since PSI was introduced.

5.6.1.6 Access to schooling and participation

The SDC pays attention to issues such as low attendance, dropouts and non-participation. In addition, influenced by the SSA (of CFSI), the school management is attempting to increase enrolment by attracting students. The SDC, in 2011, intervened by identifying a few OOSC with the help of the community, and re-enrolling them in school. One of these is continuing with his senior-secondary education. Therefore, data indicates that PSI has had a positive impact on the SDCs to intervene in issues related to access and participation.

5.6.1.7 Student learning

The SDC's discussions on issues of performance are mainly focused on the means to improving examination results at GCE/OLs. Hence, the SDC has directed teachers to implement several projects after school; for example, on mathematics, mother language and English, and remedial teaching for students with SBA low scores. In addition, co-curricular activities, value education projects (e.g. blood donation campaigns, cultural festivals) and personality development projects (e.g. Prefects' Day) are implemented. Parents and teachers work together and strongly attempt to address educational issues relating to the children. For example, as Parent/PSI stated,

As teachers discuss at the SDC, we take the message to the community on the need for parents' daily help with their children's learning. We are satisfied with what the school teaches. I personally check the status of learning of my children.

Therefore, apparently, PSI had some influence on school's and parents' joint accountability for improving the status of students' learning.

5.6.2 Child-Friendly Schools Initiative

This sub-section discusses the CFSI in *Ariya* school.

5.6.2.1 Participants' views

CFSI-participants held the following views:

.....CFS is a friendly and happy place for children. It promotes their psychological and physical well-being (Principal).

Child-friendly schools promote a safe, peaceful, friendly and attractive learning environment.....they ensure a child's right to equal opportunities for education and eliminate physical punishment (Teacher/CFSI).

CFS means that the school should be a friendly and attractive place liked by children.....also, CFS expects close relationships between teachers, students and parents (Parent/CFSI)

The participants are substantially aware of the core-idea of CFSI, which they acquired through training and experience.

5.6.2.2 School decision-making

The principal, teachers (including SDC/SMC members), parents, students and well-wishers (10 from each) participated in the SSA in 2010. Its findings covered five key areas: physical development, protection and student welfare, performance, attendance, and school-community relations. Resulting from the SSA, the CFS plan was produced. In fact, the SSA was not continued, but its decisions were considered by the SMC for developing projects. This school does not have an SAC.

5.6.2.3 Parent and community participation

Influenced by CFSI, links between parents and the school (especially the primary section) have increased. Convinced by post-SSA discussions, parents are largely contributing to improving the school environment as a friendly and safe place and converting classrooms into places which demonstrate children's creativity and develop their personalities (e.g. classroom stages). UNICEF have assisted to preventing soil erosion by constructing safety walls and the project was supplemented with parents' funds and labour. This contribution was equivalent to 75 per cent of the total project cost. Importantly, all these projects were coordinated by the SDC.

5.6.2.4 School development planning

Ariya school has formulated separate CFS plans (2011; 2012) which were shared with UNICEF upon the Zonal Director's approval. They describe the vision and mission (different from the Annual Plan), school profile, management structure and available resources, and incorporate programmes to improve attendance, health, safety, sanitation facilities and subject-based learning. CFSI criteria-based information is displayed in the Principal's office but not actually used in planning.

5.6.2.5 Role of the principal and teachers and SBTD

The implementation of CFSI itself has provided a large number of opportunities for the professional development of the principal and teachers. It influences the principal's leadership as a communicator, planner, manager, reviewer and evaluator (Principal). The teachers' engagement in practising CFSI and its criteria-based data analysis and their deliberations on contemporary policies enhance their knowledge and technical expertise. These practices help in developing a professional environment in the school. However, more attention is needed, in order to strengthen the situation.

5.6.2.6 Access to schooling and participation

Reportedly, 10-12 per cent of students are absent daily due to illness or poverty. The school runs a weekly herbal drink programme, a school health promotion programme (guided by the Public Health Inspector), a 'clean environment' project with

a refuse management system (along with a bio-gas system), immunisation campaigns and dengue elimination programmes to improve the health status of children. Those with poor attendance are tracked by teachers and those who need special support are provided with the appropriate accessories and learning materials. These programmes are advocated by the MoE and provincial/zonal authorities but are stimulated by CFSI since its criteria-based data analyses are chiefly helping teachers, SDC and SMC to raise awareness among parents on children's schooling, health, nutrition, safety and learning.

5.6.2.7 Student learning

In order to help children reach their full potential in knowledge, attitudes, skills and values, the school has organised various programmes under CFSI. Further, CFSI criteria-based analyses are used by teachers to identify low-performing students in the primary stage and extend special support to improve their literacy and subject-based competencies (Teacher/CFSI).

5.6.3 Integration of PSI and CFSI

This school provides classic examples of the harmonisation of PSI and CFSI in practice. Basically, all the participants interviewed understood the necessity of linking PSI and CFSI. Teacher/CFSI, who is a member of the SDC, also acts as the coordinator of both PSI and CFSI. Moreover, the SSA's broad-based findings are used by the SMC in designing projects, while the SDC coordinates all the projects under both PSI and CFSI. Evidently, CFSI provides a broad framework for the SDC to make decisions. CFSI influences the SDC decisions on attendance, health, safety and learning of girls and boys alike, and in turn, the SDC leads the school community to ensure such an environment. CFSI and PSI equally promote improvements in students' learning. Teachers and parents are equally involved in both initiatives. Since CFSI does not have any regulatory mechanism for implementation, the SDC complements it.

5.6.4 Conclusions

The participants show substantial understanding of the initiatives and the need for their harmonisation. The school has a strong SDC which follow the PSI guidelines properly and leads the school community towards achieving the school objectives. The

SSA was held in 2010 and its analysis is used largely by the SDC and teachers in planning and improving the status of access and student learning.

From the perspectives of the participants, both initiatives have contributed towards improving community collaboration, planning and physical environment development. The rights-based approach and the knowledge-base of CFSI are used by the SDC reasonably in making its management decisions. However, the school has developed two separate plans under these two initiatives. Both initiatives have had a positive influence on the role of the principal and teachers but a systematic SBTD environment is not being built.

CFSI has encouraged the school community to pay attention to improving the attendance and retention of students, although this is mainly confined to primary education while both initiatives were seen to promote learning enhancement programmes.

5.7 *Diyape* School (Type3/urban)

The following section discusses the case of PSI and CFSI in *Diyape* school.

5.7.1 Programme for school improvement

This sub-section discusses PSI in *Diyape* school, where it commenced in 2008.

5.7.1.1 Participants' views on policy expectations

The participants views on PSI were that it:

encourages collaboration between the principal, teachers and the community in school management, which helps meet the expectations of the community (Principal).

helps in planning school goals with a representative committee (Teacher/PSI).

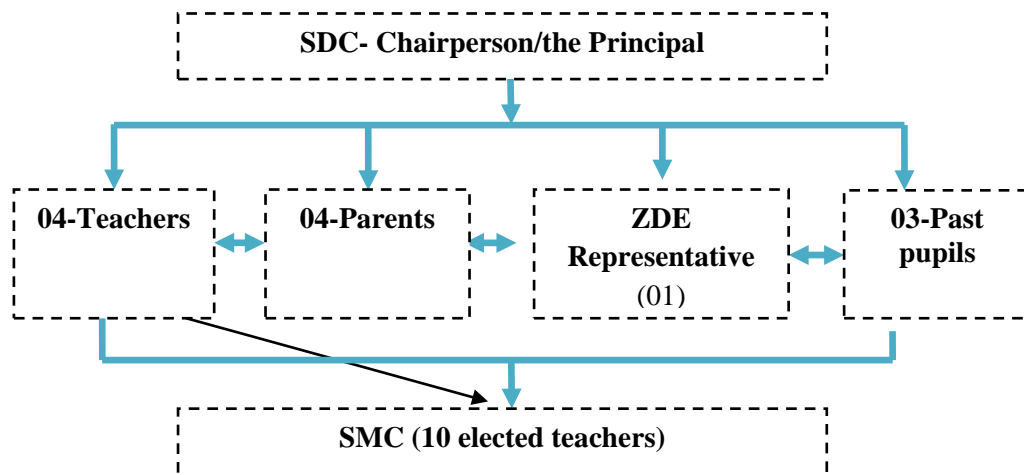
brings teachers and the community together in making decisions on school development. It aims at improving the overall productivity. It also makes the school accountable for investments (Parent/PSI).

The participants generally understood the objectives of PSI. Their views together have created a practical meaning for PSI. The principal of *Diyape* School has received training in PSI while others have known it in practice since 2008.

5.7.1.2 School decision-making

In this school, the SDC membership (Figure 5.8) has remained unchanged since the beginning. The minutes show that it meets when necessary. The SDC provides a forum to deliberate on and review the progress of school plans, projects (e.g. fund-raising events) and performance and to make decisions along with the community representatives. The SMC is responsible for drafting plans and budget estimates and conducting an internal supervision programme.

Figure 5.8: Decision-making structure under PSI –*Diyape* School



Source: author.

However, the principal had concerns about the inclusion of past-pupils in the SDC membership because they interfere with the internal administration in matters such as school admissions in popular schools like hers. As she pointed out further, different decision-making structures, namely, the SDS, SDSC, SDC and SMC (see 4.4.3.1), function side by side and they need harmonisation. Filling a gap in PSI, this school depends on the SDS, which has around 300 parents, to validate the decisions of the SDC, which is represented by four parents.

5.7.1.3 Parents and community participation

PSI empowers parents to ask questions about the services rendered by the school. It also influences schools to welcome all parents alike, regardless of their socio-economic or educational levels. *Diyape* school elects the SDC's parent-members from different villages. Its annual events are decided avoiding the parents' agricultural and harvesting times. Parents help the school in the implementation of extra-curricular activities, such as educational trips, value education programmes and celebrations, and in monitoring progress of the projects. Most of the physical infrastructure development projects were donations by parents and past pupils. The SDC provides the leadership in these endeavours, thus growing as a professional decision-making body.

In contrast to the formal structures, parents who enrolled their children in Grade 1 in *Diyape* school formed a club and raised funds for infrastructure development. These funds were not credited to any school account. These investments are helpful but they need to be streamlined within PSI.

5.7.1.4 School development planning

The principal has prepared the Annual Plan (2012) in accordance with the ESDFP themes, obtaining the proposals from the teachers. It includes programmes such as mid-morning meals and health campaigns; increasing student participation in learning and in extra-curricular activities; improving the school infrastructure; and developing capacity of teachers. However, the process of planning was not appeared as sufficiently participatory.

5.7.1.5 Role of the principal and teachers and SBTD

PSI has improved the teachers' understanding of their accountability to the community and their capacity to negotiate with parents on pedagogical matters. Teachers share with colleagues the knowledge they have gained through training and seminars and implement peer monitoring programmes and clinical supervision.

However, other than these, formal school-based professional programmes are not prevalent.

5.7.1.6 Access to schooling and participation

The school implements subsidy and health programmes to encourage participation and attendance. The SDC is involved in raising awareness among parents about family support for learning and the value of the family staying together, children's safety, nutrition and health, and preventing abuse.

5.7.1.7 Student learning

The SDC frequently reviews the status of teaching and learning in Grades 4 and 5 since parents expect better results at G5SE. The school produces 'talented and dynamic students with the best G5SE results' (Parent/PSI) among the neighbouring schools and the PTAs are active in these endeavours. Therefore, learning promotion programmes are part of the school's tradition, and thus they cannot be exclusively attributed to PSI.

5.7.2 Child-Friendly Schools Initiative

The following section analyses the practices of CFSI.

5.7.2.1 Participants' views on CFSI

The participants views were that CFSI

improves productivity, since it develops close relationships between students, teachers and parents (Principal).

motivates us to treat all children alike, to make the school a friendly place where child rights are secured and dropping-out is minimised (Teacher/CFSI).

encourages all stakeholders to make the school a friendly place for children (Parent/CFSI).

The participants generally understand the objectives of CFSI through the knowledge acquired from training programmes and their practice.

5.7.2.2 School decision-making

The SSA (CFSC) was held with a group of teachers, parents, students, past-pupils and well-wishers (10 from each) in 2010. It has raised awareness among teachers and parents of the deficiencies in the school in terms of resources, facilities and performance. More importantly, it has raised their understanding about children's rights, safety and protection (Teacher/PSI). However, as the principal pointed out, it is essential to emphasise the principles of CFSI in the curriculum in order to ensure a reasonable impact on the primary education. In addition, the SAC conducts a monthly review of students' access and attendance (Teacher/PSI) and shares any issues with the school management.

5.7.2.3 Parent and community participation

Data suggests that, since the SSA, parents have assisted considerably in improving the school as child-friendly by improving basic facilities (e.g. drinking water, sanitary facilities), safety (e.g. school fence, access road, safety walls to reduce soil erosion) and child-friendly classrooms (e.g. painting classrooms and furniture, constructing classroom stages and hand wash facilities), which are observable. Parents' awareness of CFSI resulted in their observing teachers' commitment, their punctuality and pre-preparation, teacher-shortages and care given to children.

5.7.2.4 School development planning

The CFS Plan (2012) incorporates programmes for physical infrastructure development and provision of equipment, health promotion and establishment of a library. The sources of funding were the government, parents and UNICEF. The CFS Plan (2012) has been harmonised with the school's Annual Plan to avoid duplication of plans. As the principal of *Diyape* school suggested,

.....all programmes should be discussed at the SDC. The CFSI plan should be combined with the school's Annual Plan.....In support of this combination, the SMC could coordinate the SSA....

It appears that the school has been instructed to submit a separate CFS plan to the Zonal Director and then to UNICEF if UNICEF support is sought. Hence, the SSA is fully focused on the CFS plan.

5.7.2.5 Role of the principal and teachers and SBTD

Evidently, CFSI is increasingly contributing towards raising awareness among teachers of the child's rights based approach to education. Children are close to teachers and hence teachers are able to identify and help address their learning difficulties. Since CFSI, teachers are increasingly using mixed-gender groups in classroom teaching, pay attention to each child's performance and attempt to provide an inclusive environment with child-centred teaching (Teacher/CFSI).

Teachers' engagement with CFSI criteria-based analytical exercises helps improve their expertise but the use of such information in decision-making is unsatisfactory (Teacher/CFSI). The extraordinary emphasis by teachers and parents to increase the pass rates at G5SE is impacting negatively on the individualised, rights-based teaching and learning process and thus obstructing the achievement of the CFSI principles. This issue needs to be accommodated in the discourse of CFSI.

5.7.2.6 Access to schooling and participation

This school does not have serious issues of drop-outs or OOSC and school staff make a maximum efforts to create an inclusive environment that is in line with CFSI principles (Principal). The CFSI indicators-based analysis and the SAC's studies have helped to reveal issues of irregular attendance and to identify measures to address those issues (Teacher/CFSI). It seems that this involvement has resulted in minimising irregular attendance.

5.7.2.7 Student learning

Reportedly, in *Diyape*, teachers attempt to ensure that students acquire Essential Learning Competencies which are defined in the primary curriculum and to use the SBA scores to measure the status. In the classroom teaching and learning process and in all

extra-curricular activities, teachers ensure equal opportunities for all, as Teacher/CFSI explained:

we give equal attention to everyone, girls and boys, forming mixed gender groups.....and adopting student-centred learning. We give additional assignments for high performing students, and regarding those children who work slowly, we arrange remedial measures and also discuss with their parents regarding the reasons.....

In support of teachers' attempts, Parent/PSI stated that:

.....teachers in the primary section cannot be the only ones accountable for children's education, as parents also share the responsibility.....parents assured the school that their support extended through various projects.....but some parents do not understand this.... However, many parents really help the school to deliver its accountability.

Therefore, the parents and teachers at this School understand their different and joint responsibilities towards developing children through education and CFSI has stimulated this understanding.

5.7.3 Integration of PSI and CFSI

The principal understands that PSI and CFSI should be combined basically through planning. Since this is a primary school, the SDC makes all the decisions taking into account the CFSI principles.

5.7.4 Conclusions

The participants interviewed on PSI hold practical views about PSI while Teacher/CFSI has acquired a better understanding of CFSI. The SDC's membership was not updated, while the SSA was a one-off exercise. The parents help with the school development considerably, while parents' clubs have also been established even though they are not advocated.

With the help of the parents, the school was reported to maintain a child-friendly environment in and outside the classrooms. The Annual Plan incorporates the CFS Plan and follows the ESDFP thematic structure; however, the planning process is not fully

participatory. PSI influences teachers to engage in decision-making processes, and teachers also use the child's rights based approach and child-friendly methods in the teaching and learning process. However, systematic SBTDPs were lacking.

It appears that the school has taken steps to improve attendance and participation in learning as mainly influenced by CFSI. However, the over-emphasis given to the G5SE performance-driven pedagogical practices could undermine the CFSI core-principles: inclusiveness and child-centredness.

5.8 Manura School (Type 3/rural)

This section presents the case of PSI and CFSI in *Manura*.

5.8.1 Programme for school improvement

The following sub-section presents PSI in *Manura*.

5.8.1.1 Participants' views on policy expectations

PSI-participants' view were that PSI:

is an opportunity to develop the school in collaboration with the community (Principal).

enables the school to implement programmes relevant to the school context fulfilling the requests made by parents in the interests of the students' future. PSI transfers decision-making powers to the school to identify development priorities and implement them with the support of the parents and community (Teacher/PSI).

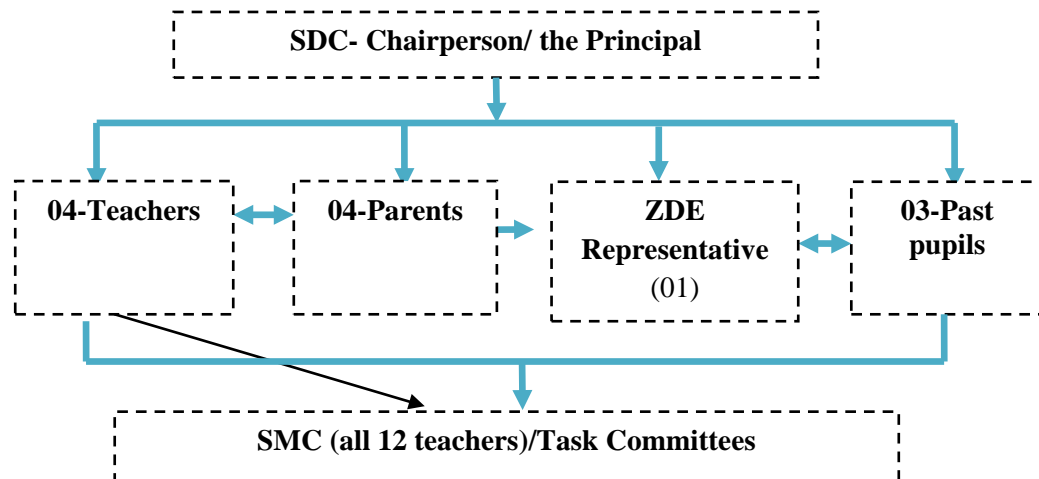
has made us realise that we need to help the school as it is the common asset of our village. All the parents know that the SDC promotes parents' help for school development. We discuss how we should improve the children's learning and help the school....(Parent/PSI).

These definitions reveal that the participants have understood the fundamental idea of PSI by applying it to their own context. PSI was communicated to the school through the awareness sessions of the zonal office in 2008.

5.8.1.2 School decision-making

In this school, the SDC (Figure 5.9) is elected once in three years and functions regularly by keeping records of meetings. Within the power vested in it, it has achieved several targets, such as improvements of school buildings and upgrading basic facilities with the help of the parents and benefactors. The SMC comprises all teachers and is responsible for the planning and implementation of projects.

Figure 5.9: Decision-making structure under PSI –Manura School



Source: author.

The SDS is used to elect the SDC's parent-members and to build a consensus on SDC decisions. Following the Zonal Director's approval for the plan, the SDC leads its implementation by making appropriate decisions. The SDC has restored the enthusiasm of the school community for school development. However, the Zonal Representative's participation in the SDC is not regular, mainly due to distance and difficulties in travelling (Teacher/PSI).

5.8.1.3 Parent and community participation

The majority of parents are farmers and belong to a low socio-economic background, while around 50 per cent of parents have studied up to GCE/ALs or GCE/OLs. Their participation in school meetings and events are high. The mutual understanding and trust between parents and school have been built because teachers never discriminate against parents and respect their practical intelligence. The parents

elect educated and economically strong members to represent them at the SDC. All the SDC members have a spirit of ownership for this school and they receive active support from the rest of the parents. Parents consider the SDC as a forum to share their suggestions with teachers (Principal, Teacher/PSI).

Parent/PSI stated that as the secretary to the SDC, she contributes fully to the school in organising events and additional classes, and drafting the school plan. Parents frequently consult teachers regarding their children's performance especially with an interest in G5SE results. A significant contribution by parents and the community is recorded in a project to construct a library building, coordinated by the SDC. According to the principal, approximately 85 per cent of its total cost was received from the parents and benefactors. The rest was a seed grant from the MoE for PSI.

5.8.1.4 School development planning

The Medium-Term Plan (2012-2016) and the Annual Plan (2012) have incorporated programmes for developing physical infrastructure; improving students' access, participation and performance; assessment and feedback activities; teacher supervision; student and teacher welfare programmes; co-curricular activities; and value education programmes.

The principal and teachers prepare draft plans consulting the parents (Principal). The SDC does not become involved in the planning process. Funds are provided by the government, parents, development partners (i.e. UNICEF, WB) and voluntary/community-based organisations. However, the funding is inadequate for implementing the entire plan (Principal).

5.8.1.5 Role of the principal and teachers and SBTD

It appears that PSI has, to some extent, changed the role of the principal, engaging him in a democratic process of decision-making in which the ideas and suggestions of teachers and parents are carefully listened to. His practice of making individual decisions has changed, as he stated that:

Now we have a group to make decisions. Therefore, I can devolve responsibilities. We first discuss things at the SMC and then submit them to the SDC to obtain the parents' views....

He further explained about the extended role of teachers in this process, as follows:

In PSI, teachers are consulted in making decisions.....the programmes implemented are totally based on the proposals of the teachers and that makes them feel that they are acknowledged and respected. When they see the benefits of this, they feel the ownership. That strengthens their role. When a teacher feels that 'this was proposed by me and I gave leadership to this', his/her dignity, commitment and mental strength improves.

Moreover, as influenced by PSI, teachers increasingly share managerial responsibilities and work in teams to achieve the school's objectives, with the intension of doing their best for the community. These engagements add to their professional experience in addition to their sharing of knowledge on pedagogical issues. They also have a programme to learn ICT (Teacher/PSI).

5.8.1.6 Access to schooling and participation

Low attendance is not a common issue. It was recorded during the monsoon seasons due to travelling difficulties (Teacher/PSI). Children are given special care by teachers during such hard times as well as when they face any emergency, as teachers act like guardians. It seems that such care was promoted by PSI, and this helps increase children's attendance and participation.

5.8.1.7 Student learning

A higher-order process grant (see 4.3) received annually since 2006 was used to quantitatively expand student-based learning improvement programmes in line with PSI (Teacher/PSI). The changing learning environment is partly influenced by the SDC through its deliberations and decisions on improving students' competencies. As a result, teachers have made remarkable efforts to improve students' basic learning competencies through various interventions. For example, special literacy classes and reading classes have helped all children to acquire reading and writing skills and some students have won awards in language competitions (Parent/PSI). Moreover, this change

was influenced by the teachers' obligations to prepare children for the G5SE since it was strongly wished by the parents. As a result, during recent years, more than 75 per cent of students of this school obtained more than 100 out of 200 marks in the G5SE. Even though these results cannot be directly attributed to it, PSI has stimulated teacher-parent collaboration in all these endeavours (Teacher/PSI).

5.8.2 Child-Friendly Schools Initiative

This sub-section discusses CFSI in *Manura* school.

5.8.2.1 Participants' views on expected implications

The participants' views were that CFSI:

makes the school a place which rights of the child are respected (Principal).

aims to secure children's rights and treat all children alike, both girls and boys, of different religions, ethnic and socio-economic groups. It also requires the provision of a quality education programme to improve the knowledge, attitudes and skills of the children. It emphasises the relationship between school, parents and the village community. The school management is required to ensure a safe environment and protection for the children in all aspects. Furthermore, all other educational policies should be implemented in support of CFSI (Teacher/CFSI).

ensures greater care and a protective and safe environment for children to learn (Parent/CFSI).

Teacher/CFSI (who is also the Treasurer of SDC/PSI) coordinates CFSI and has participated in training in addition to the SSA and he encapsulates a broad view of CFSI. Other participants explain the CFSI from their experience.

5.8.2.2 School decision-making

The CFSC, which includes teachers, parents, well-wishers and students had the SSA in 2010, which resulted in the CFS Action Plan being produced. Accordingly, several changes were brought in to the environment, for example, the creation of a play park and improvements in classrooms, with proper light, ventilation and classroom-stages for children to present their work. However, the SSA was not continued in the

following years (Teacher/CFSI). The SAC, which comprises teachers and several government officers (see 5.3.2.2), analyses attendance data, reasons for dropping-out and the status of participation. In 2011, the SAC identified two children who were about to leave school and then the teachers arranged support through the school community for them to continue their schooling (Parent/PSI). However, the SAC's functioning and record keeping is not regular. The school being located in a difficult location, Zonal Officials' follow up is also not sufficient.

5.8.2.3 Parent and community participation

It appears that CFSI has influenced parents' participation in improving basic facilities (e.g. water, sanitation, access roads) and the physical learning environment. No child is penalised because of his/her socio-economic level or performance level while no parent is pressurised to make financial contributions to the school. If anyone is unable to contribute, other parents compensate for the gap. Parents understand the inadequacy of government funding for the school and they also have an interest in their children's educational status and hence they frequently contact teachers and help the school in whatever way they can.

5.8.2.4 School development planning

Teacher/CFSI has played a leading role in the SSA and developing the CFS plans (2011 & 2012) including special projects aimed at creating a child-friendly environment. These plans were shared with UNICEF, who agreed to provide assistance.

5.8.2.5 Role of the principal and teachers and SBTD

CFSI is considered a momentum for the principal and teachers to participate in decision-making, planning and implementation of programmes to ensure children's rights to education, also considering students' opinions. The principals and teachers explore the progress of their attempts based on CFSI criteria-based data analysis, e.g. individual students' attendance, Body Mass Index and performance. They work in teams in these processes. The principal stated that CFSI helps teachers to move away from the

traditional teaching process. Therefore, a change in teachers' professional status is observable; however, an organised SBTD environment is yet to be established.

5.8.2.6 Access to schooling and participation

The SAC assists teachers to identify OOSC and also to raise awareness among parents on the value of education. Teachers usually visit homes when a child is reported for a long-term absenteeism, and they arrange possible assistance for him/her to continue schooling (Parent/CFSI). Teacher/CFSI stated that one such child, when offered special care, materials and books, returned to the school last year. The teachers, knowing that his literacy level was low, provided special support through the literacy class run by teachers of Grades 1 and 2 from 12.30 - 1.30pm to help weak students, and that helped him to catch up with his learning. CFSI has largely guided teachers to commit towards seeking out and re-enrolling OOSC, ensuring that vulnerable or at-risk children will continue their schooling, and motivating low-performers in learning.

5.8.2.7 Student learning

Reportedly, teachers were guided by the curriculum and teacher instruction manuals to adopt child-centred learning and activity-based learning. It appears that the knowledge of CFSI dimensions has influenced teachers to endorse these practices. In the inclusive classrooms, they mainly use SBA data to support students with learning difficulties and special educational needs, appropriately providing support through special remedial units. Therefore, CFSI had a positive influence on the teaching and learning process.

5.8.3 Integration of PSI and CFSI

According to the participants' views, PSI has a broader management framework to cover planning, decision-making and procurement, while CFSI provides an approach to children's rights-based decisions. The SMC comprises all twelve teachers and they engage in planning within the SSA and under the SDC. Teacher/CFSI being the coordinator of CFSI and the Treasurer of the SDC holds a thorough understanding of both. He has better views on combining CFSI and PSI to strengthen their core objectives and also has concerns on the need for minimising UNICEF's influence in order to

enhance sustainability and ownership of the school community on CFSI. Both PSI and CFSI aim at improving the quality of education. Therefore, data suggests that they can be a combined framework in which the SDC pays greater attention to CFSI principles in its decision-making process and SMC undertakes planning through SSA (Principal; Teacher/CFSI).

5.8.4 Conclusions

The participants have shown that they have acquired knowledge of the fundamental principles of the concepts on which they were interviewed. They feel that PSI has empowered the school to some extent in undertaking development projects with the support of the parents' meaningful involvement in many aspects. CFSI has enabled the school community to envision the fundamental principles of children's right to education. The SSA, which was held once, has been the foundation for the preparation of the CFS plan, while the school Annual Plan is prepared by the SMC, subject to the approval of the SDC and then the Zonal Director. The CFS component is incorporated in the Annual Plan. Hence, combining the SSA (under CFSI) and planning under PSI was suggested to be a meaningful methodology. Both PSI and CFSI have influenced changes in the roles of teachers and the principal, and have delegated powers to teachers to work in teams in many endeavours.

Reportedly, the teachers are attempting to identify students with low attendance and helping them to continue learning. Both initiatives are influencing the learning promotion programmes, although no significant changes are to be seen yet. The teachers do not distinguish between PSI and CFSI but apply their principles in a synchronised way, wherever possible, to improve the school.

Chapter 6

Similarities and differences between PSI and CFSI and their integration

-Cross-Case Analysis-

6.1 Introduction

This chapter presents a cross-case analysis of the six school case-studies presented in Chapter 5 addressing the questions:

- e) What are the similarities and differences between the Programme for School Improvement (PSI) and the Child-Friendly Schools Initiative (CFSI) in conceptualisation, implementation and effects?
- f) To what extent have schools integrated PSI and CFSI, what problems have arisen in integrating the two approaches and what makes for a better approach to SBM?

6.2 Similarities and differences between PSI and CFSI

This section analyses the similarities and differences between PSI and CFSI in conceptualisation, implementation and effects in the six case-study schools based on the analysis in Chapter 5 and referring to Chapter 4 as relevant.

6.2.1 Similarities and differences in conceptualisation of PSI and CFSI and methods of communication

The participants' interpretations show variations in their conceptualisation of PSI and CFSI. Regarding PSI, the common view embedded in the explanations of the principals interviewed was that PSI 'promotes collaboration between school and the community in decision-making aimed at school development and increasing resources'. The Principal of the Type1C/urban school provided a fairly comprehensive view, highlighting its 'self-improvement' nature, and the Principal of the Type2/urban School mentioned its focus on 'student learning'. While teachers interviewed on PSI also viewed its orientation on 'collaborative decision-making', the Teachers/PSI of the

Type1C/urban, Type2/rural and Type3/rural schools provided extensive explanations which show their active engagement and leadership in the implementation of PSI. Parents interviewed on PSI had a general understanding about the ‘process that promotes collaboration between the school and the parents’ and its emphasis on ‘physical development, improving educational standards and children’s learning’. Therefore, participants understand the basic principles of PSI, e.g., involvement of communities in decision-making, improving educational standards which goes in line with the theory of SBM (cf. 2.2.1).

With regard to CFSI, the Principals interviewed had substantially understood its focus on a ‘happy and friendly learning environment’, and the Principals of Type1C/urban and Type3/rural Schools underscored its ‘child’s rights approach’. The teachers generally underlined its emphasis on a ‘friendly environment for children to learn in’ while its emphasis on ‘securing the rights of children to education and their safety and protection’ were included in the opinions by Teachers/CFSI of Type2/rural and both Type3 schools. Teacher/CFSI of Type3/rural school provided a comprehensive view about CFSI, covering all its dimensions. The Parents/CFSI had the ideas of ‘friendly and safe learning environment’, ‘child’s rights to education’ and the ‘need for collaboration between school and parents’. Therefore, participants’ understand the basic concept of child-friendliness which underscores the need of school to be a place which secures children's rights (UNICEF, 2006) (cf. 2.3.1.1).

The participants learnt about PSI and CFSI through three main methods:

- (i) Training programmes, out-side schools: Principals of the sample and some Teachers/PSI participated in one-day training programmes on PSI, led by the MoE and provincial department. Principals of Type 3 schools and Teachers/CFSI of the sample had received training organised by the zonal office and some of the training consisted of three-day sessions.
- (ii) On-site awareness sessions (one-day) organised by the zonal office: two of the case-study schools (i.e. Type1C/urban; Type2/rural) had these sessions on PSI. All the case-study schools had School Self-Assessments (SSA) on CFSI.
- (iii) Circulars and guidelines: PSI was transmitted through circulars while CFSI was disseminated through guidelines.

In general, the participants have understood the key changes initiated by PSI and CFSI. However, their interpretations vary in comprehensiveness and depth. These variations do not depend on the type, urban/rural location or size of the school, or the position or gender category of the participant, but apparently relate to the level of involvement in the respective initiative and the type of training received. Regarding PSI, the principals and teachers of first two pilot schools of the zone (i.e. Type1C/urban; Type2/rural) which had on-site awareness campaigns and those who received an initial training on PSI (i.e. Teacher/PSI, Type3/rural School) had a thorough understanding of the concept. Regarding CFSI, training and active engagements in SSA and in CFSI implementation enabled participants to understand the concept comprehensively (i.e. Principal of Type1C/urban; Teachers/CFSI of the three rural schools. Those parents who provided clear views were also found to have been actively and strongly involved in the respective initiative. Comparatively, the teachers showed a greater understanding than the other school-level participants. Importantly, Teachers/CFSI of three rural schools were well-aware of the concept. Participants' level of understanding was better if they had engaged in on-site awareness programmes and were actively involved in the transformation of these initiatives into practice.

6.2.2 Similarities and differences in implementation of PSI and CFSI

6.2.2.1 Decision-making structures of PSI and CFSI

The decision-making structures of PSI consist of the School Development Committee (SDC) and the School Management Committee (SMC) (see 4.4.3.1). The SDC comprises democratically elected teachers and parents, a nominated Zonal Director's representative, and past-pupils. It is chaired by the Principal. Five out of six case-study schools formed SDCs in 2008 with the correct compositions whereas the other school (Type2/urban) had established its SDC in 2009. The case-study schools elected parents representing different villages and socio-economic groups in order to increase the validity of decisions while Type 2/urban and Type3/urban schools showed irregularities in meetings, composition and timely renewal of membership (see 5.5.1.2; 5.7.1.2). The SDCs have increased parents' questioning power and their untiring contributions; for example, the Secretaries/SDC who were interviewed (e.g. Parents/PSI of Type1C; Type2/rural; Type3/rural schools) have been contributing greatly to the

school. The SMC comprises elected teachers and were established in all the schools but their composition and levels of functioning vary between the schools; for example, ‘quality circles’ (Type1C/urban) and ‘task committees’ (Type1C/rural) are active while the Type2/urban school does not have a functioning SMC.

The decision-making structures of CFSI comprise the CFS Committee (CFSC) for the SSA and the School Attendance Committee (SAC) (see 4.5.3.1). Two of the case-study schools (Type1C schools) had the SSA in 2009 while other four schools had it in 2010. The SSA was a collaborative working session of teachers, parents, students, well-wishers/benefactors (10 members from each group) and zonal officials to analyse the status of access, participation, performance, resources and unsafe areas, in order to identify requirements and to develop a CFS plan. This plan was communicated to UNICEF through the zonal office, seeking financial assistance for CFSI and also showing the influence of UNICEF on CFSI. In addition, four of the case-study schools (Type1C and Type3 schools) had functioning SACs, comprised of teachers, parents and government officials while Type 2 schools had not established SACs.

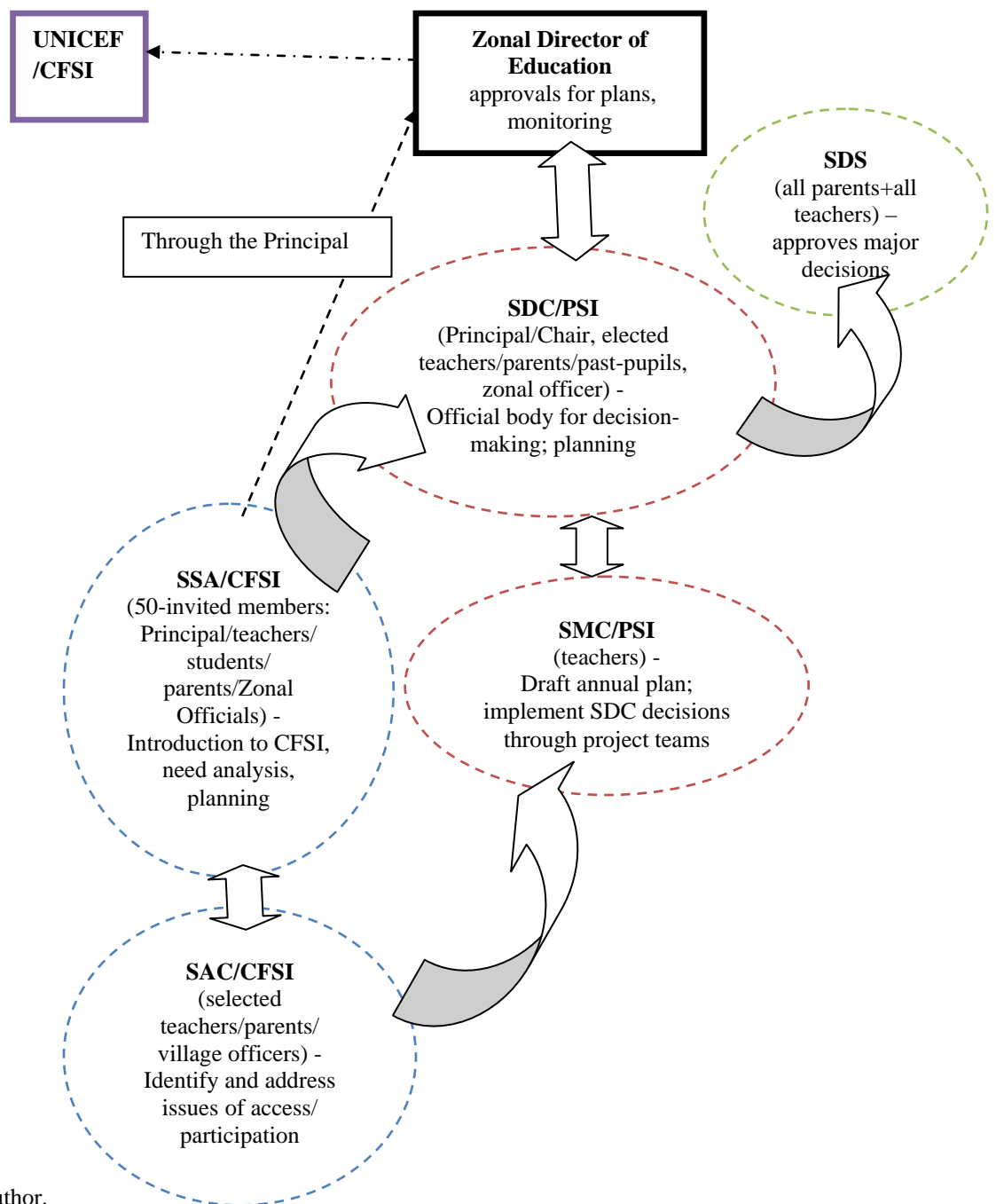
The SDCs in the case-study schools are active in making management, financial and procurement decisions on the school plans and projects, within the scope of autonomy transferred to them, subject to the control of the Zonal Director. The SDCs are also largely involved in raising funds for the physical development projects through mobilising community contributions. Filling in a gap in PSI, the SDCs of all the case-study schools depend on the SDS (see 4.4.3.1) for approval of major decisions and to declare to the parents that the funds are being utilised for the right purposes. Therefore, PSI has contributed reasonably to increasing the transparency of the decisions and accountability of the school. As data suggests, SDCs are compatible with Balanced Control Model of SBM, however, occasionally, in practice, they deviate towards Administrative Control Model when principals make decisions without consulting the SDC (cf. 5.5.1.2) (Leaithwood & Menzies, 1998) (cf. 2.2.2.3.4).

In contrast, in all the case-study schools, CFSC has promoted stakeholder consultation (i.e. SSA) on identifying development priorities and filling gaps in the schools’ facilities in order to ensure a child-friendly and safe environment. However, in all the case-study schools, the SSA had been a one-off exercise. The SDCs in some

schools have used their SSA findings in the preparation of their Annual Plans. The SACs help the school management to address access-related issues, but function in an ad-hoc manner in all the case-study schools.

The linkages of the aforementioned bodies in practice are depicted in Figure 6.1 (direct arrows show official links, while curved arrows show practice-based links).

Figure 6.1: Links between decision-making structures of SDS, PSI and CFSI



Source: author.

The structures of SDS, PSI and CFSI are not officially linked, but filling this gap, these are linked in their natural practices within the schools, ensuring that they are complementary.

6.2.2.2 Forging collaboration between school and community through PSI and CFSI

PSI policy (see 4.4.3.2) has influenced all the case-study schools to increase parent and community collaboration in school-decision-making and school development. The principals reported that this collaboration has helped them to face problems with confidence and to arrive at rational decisions responding to the critical reflections by parents (see Chapter 5: all urban and Type2/rural schools). In all the case-study schools, CFSI has also inspired a dialogue with stakeholders in identifying development priorities to establish a child-friendly learning environment.

Both PSI and CFSI have influenced the case-study schools to build up school-community relations in various aspects resulting in a mutual sense of accountability between the school management and the parents in relation to school development. The parent-members of the SDCs have been able to earn the trust of the parents' community and as a result, a dialogue on children's education has been inspired in the communities. CFSI, through the SSA, has augmented this dialogue on CFS dimensions, predominantly among parents of primary children. PSI, along with parents, had instigated the idea of "our school" and "our children" (see 5.6.1.3) while CFSI added to that the rights' perspectives to ensure 'no child is penalised due to economic or any other barrier' (see 5.3.2.3; 5.4.2.3; 5.8.2.3). Therefore, as Caldwell (2004, p.4) suggests, empowerment of community has been one of the main objectives of both PSI and CFSI (cf. 2.2.1).

Markedly, in all the case-study schools, both PSI and CFSI have persuaded parents to compensate for the gaps in funding for various projects initially funded by the GoSL or development partners (e.g. UNICEF). Accordingly, improvements and maintenance of infrastructure (e.g. water, sanitation, child-friendly classrooms, safety walls, play-parks, furniture) have been supplemented by parents through funds or labour. Importantly, most of these projects were identified by the SSAs and were handled with funds raised by the SDCs.

The teachers also proactively educate the parents on school targets while the parents act as gatekeepers by informing the teachers of any risks or problems. In forging community participation, some principals have played a vital role, e.g. the principals of Type1C/urban, and Type2/rural schools through PSI, and the principals of Type3 schools through CFSI.

However, case-study schools revealed several concerns as well. Participants suggested the need for an adequate annual grant from the government to the schools which could be matched through parents' contributions, since the schools cannot be over-dependent on the parents for meeting the school quality standards. Apparently, the SDCs of the case-study schools place a greater emphasis on physical infrastructure development since these schools have deficiencies in basic facilities and learning spaces such as libraries. Moreover, the use of parents' expertise for strengthening pedagogical practices has not significantly increased through any of these initiatives.

6.2.2.3 School development planning within PSI and CFSI

PSI emphasises school-based planning for successful implementation of the curriculum in order to meet the educational needs of students and to optimise efficiency in resource use (see 4.4.3.3). CFSI also emphasises school-based planning, so as to ensure children's rights to education within its six-dimensional framework (see 4.5.3.3). In practice, all the case-study schools have engaged in moderate planning processes, although the Type 2/urban school is comparatively weak. All the case-study schools follow a participatory approach while in Type1C/urban and Type3/urban schools, the principals' involvement in planning is prominent. Three schools (Type 1C and Type3/urban schools) have used the ESDFP thematic structure in their Annual Plans. The plans of these three and the Type2/rural school are comprehensive in coverage. They focus on students' access, improving their knowledge, skills, attitudes, values and health and strengthening the capacity of the teachers. The SDCs in all the case-study schools had mobilised the parents' contributions to improve the physical facilities. Therefore, where value for money is concerned with these contributions, when these infrastructure is used by students, a high cost-efficiency can be yielded. All the case-study schools have developed a CFS plan resulting from the SSA. Four of the case-study

schools have combined the two plans. Table 6.1 depicts the details of plans under PSI (School Annual Plan) and CFSI (CFS Plan).

Table 6.1: School development planning of case-study schools

School name	PSI: School Annual Plan	CFSI: CFS plan	Remarks
Type1C/urban (<i>Mathura</i>)	Comprehensive annual plans (2011, 2012); followed ESDFP themes; various projects for improving student access, health, learning, performance, physical resources; SDC prepares plans. ZDE's approval granted.	SSA (2010) based CFS plan (2011) as a component of annual plan covering student access, participation, nutrition and basic facilities. Principal with teachers of primary section prepared plan.	Participatory planning process; used SSA findings in annual planning; SDC reviews annual/CFS plans.
Type1C/rural (<i>Pabala</i>)	Comprehensive annual plans (2011, 2012); followed ESDFP themes; programmes on students' health, learning, curriculum based performance, physical facilities, and teachers capacities. Principal and teachers prepared. ZDE's approval granted.	SSA-based separate CFS plan (2011); gender responsiveness, student performance, physical facilities; Sectional head and teachers (primary) prepared the plan.	Participatory planning process; SDC reviews annual/CFS plans; relationships between ESDFP and CFS dimensions understood.
Type2/urban (<i>Chitra</i>)	Annual plan (2012). Covers annual events; Deputy principal prepared using teachers' proposals.	SSA-based CFS plan as a component of annual plan (2012) on students' attendance and health.	Annual plan confined to list of activities. SDC is not involved in planning.
Type2/rural (<i>Ariya</i>)	Comprehensive annual plans (2011, 2012). Improving student performance, values, physical facilities, teachers' capacity. ZDE's approval granted. Principal and teachers prepared.	SSA-based separate CFS plans (2011, 2012). Improving basic facilities, health, safety and learning in primary education. Principal, teachers of primary section prepared.	Participatory planning process; SDC reviews plans; ZDE's approval process delayed.
Type3/urban (<i>Diyape</i>)	Detailed annual plan (2012) followed ESDFP themes; Improving student access, participation and health, teaching and learning, physical facilities. Principal led planning process.	SSA-based CFS plan (2012) as a component of annual plan. Improving basic facilities, health, nutrition. Principal and teachers prepared.	Principal led, but participatory process. Principal believes on integrated (PSI & CFSI) plan.
Type3/rural (<i>Manura</i>)	Annual plan (2012) prepared by principal, teachers and parents. Covers physical plant, student access, participation and performance; student and teacher welfare.	SSA (2010) based CFS plan as a component of annual plans (2011, 2012). Basic facilities, health, nutrition, literacy. Principal and teachers prepared.	Participatory planning process; ZDE's approval delayed.

All the plans should be improved by clarifying costs, performance indicators, targets and monitoring arrangements. These improvements will help increasing efficiency in resource use and achieving educational outcomes (Levačić, 1998; cf. 2.2.3.3). The use of the SSA findings and the CFSI indicator-based analysis in planning should be strengthened. Empowering SDCs to undertake a prior evaluation of the plans will expedite the process of plan approval.

6.2.2.4 Roles of the principals and teachers and School-Based Teacher Development (SBTD) within PSI and CFSI

The study found that principals of all the case-study schools work closely with the teachers and parents and PSI has helped improve their confidence, negotiation skills and trustworthiness. Moreover, dynamic and committed principals are better at dealing with changes brought about by PSI and CFSI; for example, the principals of the Type1C/urban, Type2/rural and Type3/rural schools, as they are committed, enthusiastic and appreciative of a democratic decision-making process. The principals and teachers interviewed on CFSI have a vision of the child-friendliness and rights-based perspective on education.

The study explored how PSI has brought three main changes in the teachers' role. First, it influences teachers to become involved in management decision-making. Second, it promotes teachers' team-work and the sharing of expertise in the planning and implementation of various learning enhancement projects. Third, it encourage teachers to negotiate and work with parents and community. It appears that similarly to Caldwell's (2004) views on driving forces of SBM (cf. 2.2.1), involvement of teachers in decision-making has been a main driving force of PSI. Also, these changes provide evidence for progression in PSI when they are compared with the work of Fullan & Watson (2000, p.457) (cf. 2.2.3.2) which reveals that successful SBM reforms provide opportunities for teachers to have a broader say in school decision-making. As an implication of CFSI, the role of the teachers in primary education is changing. They increasingly adopt gender responsive, child-centred teaching methodologies and engage in data analysis to reveal issues of access, participation and learning. They share knowledge between them. However, SBTD is not strengthened sufficiently under PSI or CFSI. As Fullan & Watson (2000) point out, schools with SBM had shown high

academic performance among students when there were established professional learning communities. Accordingly, if sufficiently strengthened, SBTD will help achieve objectives of PSI and CFSI through creation of teachers' professional learning communities (cf. 2.2.3.2).

Meanwhile, there are certain other issues which inhibit teachers' changing according to the objectives of PSI and CFSI. The extraordinary focus of school communities on G5SE performance distracts teachers' attention from CFSI principles. In addition, the overemphasis of the SDCs and parents on the physical development of schools within PSI and CFSI drag principals towards an administrative role instead of the expected instructional leadership role. It appears that the school-based professional development of teachers and principals is not strengthened, to help them play their intended roles. Furthermore, how certain contemporary policies might contradict the rights-based approach to education is not accommodated adequately and openly in the practitioners' dialogue.

6.2.3 PSI and CFSI: emerging effects on access, student learning and efficiency

This section presents a cross-case analysis of the effects on access to schooling and participation, student learning and efficiency in resource use.

6.2.3.1 PSI and CFSI: emerging effects on access to schooling and participation

Even though serious issues of access and participation are not prevalent in any of the case-study schools, the schools have made attempts to improve attendance, prevent drop-outs, identify any OOSC and re-enrol them, and improve retention. As influenced by CFSI, the teachers of these schools undertake CFSI criteria-based analysis which help them reveal problems such as irregular attendees and students with health and performance issues. In addition to the timely delivery of subsidies (e.g. textbooks, uniforms, mid-morning meal) which are demand-side national measures, schools conduct literacy programmes, health and nutrition programmes, parental awareness on children's right to schooling, and provision of water and sanitary facilities as measures to improve

access and participation. Added to these, as guided by the CFSI, teachers increasingly use child-centred teaching methodologies. The case-study schools are doing their best to improve the learning environment with child-friendly characteristics and they are helping to promote learning, as well as the moral and personality development and safety of children. These changes are more prominent in Type3 (primary) schools than in others. For example, the rural, mountainous Type3/rural school has an attractive school garden with reading areas and a play park, all of which stimulate learning.

The status of access and participation is being considerably improved as a result of these measures. SDCs (of PSI) lead, organise and coordinate such measures planned under CFSI which help in meeting child-friendly criteria. It appears that as CFSI principles (cf. 4.6) and its models (cf. 2.3.1.2: Table 2.2) emphasises, it has made a considerable influence over children's attendance and participation. Therefore, as a result of collaboration between PSI and CFSI, the knowledge and attention of the school community towards students' access to and participation in education is being increased in the case-study schools.

6.2.3.2 PSI and CFSI: emerging effects on student learning

All the case-study schools are generally paying attention to improving students' cognitive, attitudinal and value-based competencies. Since the introduction of PSI, in many schools SDCs have stimulated these efforts by directing teachers to undertake special programmes with the help of the parents, and by encouraging parents to support children in their learning at home (Type2/urban; Type2/rural; Type3/rural schools). The SDCs provide a forum for parents to inquire about student performance (Type1C; Type3/urban schools) and to demand teachers increase their attention to children's learning, and the schools' response to these inquiries and demands has considerably strengthened service delivery and accountability of schools.

CFSI has influenced schools to integrate child-friendly concepts, dimensions and characteristics into the teaching and learning process and the school environment. For example, CFSI in the case-study schools has motivated teachers to work with empathy for children, pay individual attention and use child-centred methodologies, implement

special projects (e.g. reading projects), conduct remedial sessions for low-performing students and maintain a continuous dialogue with parents on the children's learning (cf. Type1C; Type2 schools). Some schools (e.g. Type 2/urban, Type3 schools) have taken significant steps to improve ventilation, light, water and sanitation facilities, and safe, clean and orderly school gardens in order to ensure child-friendliness and thereby presumably improve the environment for children's learning, health and moral development. CFSI has encouraged a joint vision between teachers and parents on children's learning. However, the effects of CFSI are restrained to primary education.

The effects of PSI and CFSI could not be distinctly demarcated, since most of the efforts in improving student learning are guided by the competitive examinations driving teaching and parents' aspirations. Especially, CFSI's objectives are challenged, since teachers and parents pay extraordinary attention to G5SE results (see 4.4.2). Therefore, both PSI and CFSI need to be strengthened to improve student learning further. In this connection, teachers' learning communities (Fullan & Watson, 2000) (cf. 2.2.3.2), a welcoming and promising learning environment (Briggs & Wohlstetter, 2003) (cf. 2.2.3.2) and prerequisites to practise full child friendly environment (UNICEF, 2009b) (cf. 2.3.3) need to be established. Moreover, it could be noted that, as international literature reveals, SBM initiatives need time to produce positive changes in terms of student learning outcomes (WB, 2008) (cf. 2.2.3.2) and hence, the impact of PSI and CFSI need to be studied in the future.

6.2.3.3 Emerging effects of PSI and CFSI on efficiency in resource use

Both PSI and CFSI have largely contributed to increasing the schools' physical resources through parents' contributions. Therefore these initiatives have contributed to reduce maintenance budgets of the government and as it was stated by Caldwell (2004) (cf. 2.2.1). All projects were implemented through the government or UNICEF grants and parents' support with funds, in-kind resources, labour and expertise (in carpentry/masonry/technical supervision). The said grants were remitted to the SDS or PSI accounts. Noticeably, the SDCs have coordinated and monitored all these projects. Therefore, both PSI and CFSI have enabled the schools to yield a higher monetary value than the actual cost incurred. Therefore, when the benefits gained by the students is

compared with the government's investments, these low-cost-projects undeniably help to achieve a high rate of cost-efficiency.

6.3 Integration of PSI and CFSI

PSI and CFSI encompass two different policy and conceptual frameworks introduced at two different times by two different groups of policy officials with the assistance of different development partners. Apparently, a policy-level dialogue on the similarities and differences of these two initiatives was never held. However, as the case-study schools show, in practice their similarities and differences have had positive implications for organisational practices and also created duplications and issues when they co-exist in the same school. For example, PSI and CFSI similarly encourage collaborative decision-making, increase transparency in decisions, and raise awareness among parents on children's education. Moreover, both initiatives promote school-based planning; however, this results in the creation of parallel planning processes, two separate plans and separate reporting mechanisms. Planning under CFSI is driven by the need to link UNICEF funding to the schools, while the SDC (under PSI) prepares the school Annual Plan. Moreover, despite the fact that both initiatives promote SBTD, it was not successfully implemented under any of these initiatives in the case-study schools.

All the case-study schools have established the decision-making structures of PSI and CFSI. The links between these structures have not been guided and purposive, but they complement each other in the case-study schools in several ways. For example, addressing a gap in CFSI, in all the case-study schools, the SDCs manage, coordinate and monitor all the projects initiated under CFSI. There are parallel planning processes under these two initiatives, while the planning process of CFSI (SSA) is more participatory and analytical than that of PSI. Moreover, CFSI insists on analysing school attendance data through the SAC. The information base created by CFSI through the SSA, the SAC and CFSI indicator-based analysis of teachers is used by the committees of PSI (i.e. SDCs and SMCs) for planning and decision-making (i.e. Type1C/urban; Type2/rural schools). However, the SSA was confined to a one-off exercise, and it was suggested that the SMCs could be strengthened to undertake the SSA annually (see 5.8.3). Officially, the principals chair the committees under PSI and CFSI. In some of

the case-study schools, the principals provide an active leadership in integrating the concepts, principles and practices of these initiatives, and the same teachers hold responsibilities under both initiatives (cf. Table 3.3: Type1C/rural, Type 2 and Type3/rural schools). Moreover, the SDCs consider the principles of CFSI in their decision-making process, especially in Type3 schools, resulting in the establishing of child-friendly environment in the schools (see 5.6.3) and an improvement in the overall quality of SDC decisions (see 5.7.3). Moreover, filling a gap in PSI, the SDS serves as a body to validate SDC decisions. It was also revealed that SMCs and SACs are not active in some of the case-study schools.

Considering these examples, it was found that the SDS and the committees of PSI and CFSI could be combined to strengthen school-based decision-making, ensure transparency and accountability, and to avoid complex and parallel decision-making structures. In this approach, it is essential to raise awareness of school professionals and parents about the rights-based approach of CFSI and the democratic management approach of PSI.

6.4 Conclusion

This chapter presented a cross-case analysis based on the analysis of six school case-studies along with the similarities and differences between PSI and CFSI. Regarding the conceptualisation of the initiatives, the study found that those who are active in the implementation and those who have taken part in on-site awareness sessions have better conceptualised the initiative on which each participant was interviewed. The principals are generally aware of the objectives, while the teacher-participants have a substantial understanding. The parent-participants' level of understanding depends on their level of engagement in the initiative.

A permanent, legitimised decision-making structure has been established under PSI to make overall school management and financial decisions (i.e. SDC) while the structures under CFSI are aimed at developing plans through an analytical exercise (i.e. CFSC/SSA) and improving access and participation (i.e. SAC). These structures function independently, resulting in duplications, although in some case-study schools they somehow complement each other.

Both PSI and CFSI have promoted community involvement in the core-decision-making process and parents' participation in school activities has resulted in increased attention to student learning and cost-efficiency. The dual planning processes created by these two initiatives have resulted in the formulation of two plans. Despite the fact that it was a mandatory requirement of PSI, medium-term planning was not commonly practised, while CFS plans were purposively prepared with the intention of seeking UNICEF funding. Both these initiatives have influenced the roles of principals and teachers at various levels of intensity and both initiatives are promoting the SBTD culture, but it was not fully and formally practised in any case-study school.

More than PSI, CFSI has initiated a dialogue on the equal rights of children to education, gender sensitivity, child-centred learning, and issues of attendance, access and participation. Both these initiatives have increasingly been promoting student learning and performance enhancement projects, thus indicating positive effects in participation in learning. Notably, CFSI is highly focused on primary education.

The similarities and differences between PSI and CFSI bring strength on the one hand and duplications and even chaos on the other. The case-study schools have practically amalgamated these two initiatives structurally as well as conceptually, providing sporadically but effectively integrated child-centred decision-making practices which could be used in developing a synchronised decision-making modality.

Chapter 7

Conclusions and Recommendations

7.1 Introduction

This Chapter presents the main findings on the following: (i) the reasons for initiation and the expected implications of the Programme for School Improvement (PSI) and the Child-Friendly Schools Initiative (CFSI) for policy; (ii) the implications of these initiatives for organisational practices; (iii) the effects of these initiatives on access, participation, student learning and efficiency; (iv) the similarities, differences and the means by which the initiatives are integrated when they co-exist in the same school. The chapter consolidates the findings from the data-based chapters and presents recommendations for improving the policy process through which an integrated learner-friendly SBM Model can be developed to improve educational outcomes, building on the experience and insights of this research on PSI and CFSI.

7.2 PSI and CFSI compared

7.2.1 Reasons for initiation and expected implications for outcomes and policy

Based on the analysis in Chapter 4, this section addresses the research questions

- (a) Why was the PSI policy initiated in Sri Lanka and what were its expected implications for policy and organisational practices? and
- (c) Why was CFSI introduced in Sri Lanka and what were its expected implications for policy and organisational practices?

Following a lengthy consultation process, the MoE introduced PSI, a Model of SBM, in 2006, and gradually expanded it to all schools by 2011 (see 4.4.1). PSI included empowering schools by transferring some degree of autonomy to schools, raising financial thresholds in local decision-making and legitimising community participation in such decision-making, thus creating a sense of ownership among the beneficiaries. However, overall control was retained by the local education authorities. In contrast, from 2003-2004, CFSI was introduced jointly by UNICEF and the MoE to selected disadvantaged primary schools, with a view to improving the quality of

education (see 4.5.1). The CFSI consists of six dimensions. These require education to be rights-based and proactively inclusive; gender-responsive; effective in teaching and learning; healthy, safe and protective of children; actively engaged with students, families and communities; and supportive of child-friendly systems, policies, practices and regulations (see 4.5.2).

No policy discourse on resemblance or inconsistencies between PSI and CFSI in terms of their SBM characteristics and aims has taken place. However, both these initiatives address equity concerns, quality issues and efficiency criteria. The explicit objectives of PSI emphasise a ‘Balanced-Control Model’ of SBM to promote democracy in participation and equal opportunities for children to reach full potential. Hence its implicit premise is the right to education (see 4.4.1). CFSI explicitly emphasise rights-based approach to education (see 4.5.2) while promoting democratic participation and in that, showing its link to SBM (see 2.3.2). PSI highlights efficiency in resource use while CFSI cannot ensure inclusiveness and equity without emphasising the vertical and horizontal equity principles in resourcing (see 2.2.3.1; 2.3.4.1). These underpinned similarities have never been considered in the policy-discourses at national or sub-national levels.

7.2.2 Conceptualisation, implementation and effects of PSI and CFSI

This section presents the findings in relation to the research questions

- (b) In what ways is the PSI being implemented and what are its emerging effects on access, quality and efficiency;
- (d) In what ways is CFSI being implemented and what are its emerging effects on access, quality and efficiency;
- (e) What are the similarities and differences between PSI and CFSI in conceptualisation, implementation and effects; and
- (f) To what extent have schools integrated PSI and CFSI and what problems have arisen in developing the two approaches?

The case-study schools applied these innovations starting at different times. PSI commenced in 2008-2009 and CFSI in 2009-2010 (see 3.3.1: Table 3.1). Based on the analysis in Chapters 4, 5 and 6 of the field-data gathered in early 2012, section 7.2.2.1

presents participants' conceptualisation of these initiatives, sections 7.2.2.2- to 7.2.2.5 present the findings on implementation issues, while sections 7.2.2.6 to 7.2.2.8 present the effects. The cross-case analysis in Chapter 6 does not reveal any relation between schools by type, geographical location or any other characteristic, nor between their patterns of implementation of the innovation. However, since the sample was small it was not possible to reach a general conclusion from this observation.

7.2.2.1 Participants' conceptualisation

This section presents the findings on the participants' views of PSI and CFSI. Field work conducted between February and July 2012 confirmed that the policy officials are largely aware of the objectives of these initiatives and could identify and engage with their essential features (see 4.4.2; 4.5.1; 4.5.2). School-participants, who had participated in on-site introductory sessions and had actively engaged in these initiatives, had a moderately comprehensive understanding of the concepts while others were able to provide practice-based interpretations (see Chapter 5; 6.2.1). The explanations given by participants revealed that rather than the benefits of cascade training, what had helped practitioners to understand policy was the on-site practical awareness sessions and this was reinforced by active involvement in the initiatives (see 4.4.2.1; 4.5.2.1).

7.2.2.2 Changes in school decision-making structures and school autonomy

All the case-study schools have established the decision-making structures of PSI; namely, the School Development Committees (SDCs) to make overall management and financial decisions and the School Management Committees (SMCs) to implement the SDC decisions. Only two of the schools showed discrepancies in the renewal of SDC membership and consistency of meetings. The SDCs were involved in making financial decisions, reviewing school plans and budgets, conducting fund-raising activities and coordinating various educational and physical infrastructure development projects initiated under PSI as well as CFSI (see Chapter 5). The SDCs confirmed the spirit of democracy, transparency and flexibility in decision-making. Parents from various socio-economic strata and school teachers were involved to a reasonable extent

in the SDCs' decision-making. PSI was not intended to over-empower principals (see 4.4.3.1 (b); MoE, 2008a), but active and enthusiastic principals were leading the changes confidently (for instance, in the Type1C/urban, Type2/rural, Type3/rural schools).

All the case-study schools have appointed SMCs comprised of teachers, but are active only in a few schools. Active SMCs are increasingly involved in the planning and implementation of various projects in collaboration with the parents. Filling a gap in PSI, all the case-study schools relied on the School Development Society (SDS) to elect SDC members and to validate plans, budget estimates and expenditure statements, thereby reflecting the need for such a body to ensure transparency and accountability.

By contrast with PSI, which mandates organisational changes, CFSI lacks a formal and official organisational structure that is part of the general school management. It does, however, have two recommended structures: a Child-Friendly Schools Committee (CFSC) to conduct a School Self-Assessment (SSA), which is an analytical exercise on CFSI dimensions in order to produce the CFS plan; and the School Attendance Committee (SAC), which engages in access-related issues. Each case-study school had held an SSA at the commencement of CFSI with around 50 participants including the principal (chairperson), teachers, parents, well-wishers/benefactors and, more importantly, students, which is not a characteristic of PSI structures. SACs comprise teachers and government officials (see 4.5.3.1). However, in all the case-study schools, the SSA was a one-off exercise while the SACs did not function on a regular basis.

Therefore, the decision-making structures of PSI and CFSI differ in terms of composition, mandates, responsibilities and functions. However, in practice, they complement each other. For example, SDC members participate in the SSA and use its findings in decision-making, SDCs coordinate all CFSI projects, and principals chair committees under both, while on many occasions, the same teachers hold responsibilities for both PSI and CFSI. As Type 3 schools show, the SDCs' recognition of CFS principles in their decision-making adds vigour to their decisions (see 6.2.2.1).

7.2.2.3 Changes in school-parents-community collaboration

In all the case-study schools, both PSI and CFSI have strengthened school-community collaboration, resulting in improvements in school infrastructure and in educational and nutrition projects; however, the CSFI's influence is mainly confined to primary education (Grades 1-5).

Both PSI and CFSI have established a mutual sense of accountability. Many parents are not concerned as to whether the projects are initiated under PSI or CFSI but are committed to the development of the school. Nonetheless, there is still a lack of harnessing the community's knowledge and skills in improving learning, while the extent of community collaboration is not systematically reported and gauged (see 4.4.3.2; 4.5.3.2; Chapter 5; 6.2.2.2).

7.2.2.4 School-based planning

Both PSI and CFSI advocate systematic school-level planning. Under PSI, SDCs of all the case-study schools have formulated school Annual Plans focused on improving physical facilities and students' competencies. Meanwhile, school management has employed the SSA, a more participatory approach, to produce CFS plans which emphasise the importance of water, sanitation, nutrition, health, safety and student access. Only three of the case-study schools have integrated a CFS plan into their Annual Plan and these plans are seen as complementary and overlapping rather than as completely separate and divergent.

Only the Type1C/urban school had prepared a CFSI integrated Annual Plan adopting the ESDFP framework and using the SSA findings. The principal's leadership in planning in that school was prominent. Medium-term planning was observed only in the Type3/rural school. The Zonal Director had approved the plans of all these schools, but some schools had faced delays in this process. The CFSI plans were shared with UNICEF and in response, nominal grants have been allocated to improve child-friendly criteria in schools (see 4.4.3.3; 4.5.3.3; Chapter 5; 6.2.2.3).

7.2.2.5 Change in roles and School-Based Teacher Development (SBTD)

A climate favourable to expanding the role of teachers has been growing under PSI by increasingly involving them in decision-making, planning and school-community collaborative projects. CFSI has complemented this change by strongly encouraging the teachers of primary education to use child-centred teaching methodologies, engage in CFS criteria-based analysis and conduct action research. PSI and CFSI are contributing reasonably well to creating professional communities in schools (see 4.4.3.4; 4.5.3.4; Chapter 5; 6.2.2.4); however, formal SBTD programmes are still lacking.

7.2.2.6 Effects on access and participation

CFSI has influenced school managers to identify issues of access, such as low attendance and Out-of-Schoolchildren (OOSC), and to apply possible means to address these. In addition, as a result of various interventions in matters such as health and nutrition; protection and safety; and child-friendliness in schools (drinking water, sanitation, ventilation and light), homes and communities, the participation of children in learning has been increased. While the effects of CFSI are mainly confined to primary education, the SDCs (of PSI) apparently show concern for students with economic difficulties and support them so they are able to continue schooling. All these measures have together contributed towards improving the participation and retention of children at risk (see Chapter 5; 6.2.3.1)

7.2.2.7 Effects on student learning

The SDCs have directed school communities to design and implement various programmes focused on improving students' knowledge, attitudes, skills and values, while CFSI has had a significant impact on improving child-centred teaching and learning methodologies in the primary sections. Both PSI and CFSI have encouraged parents to provide home learning support for children. Therefore, both these initiatives have been contributing towards improving learning time and learning outcomes (see Chapter 5; 6.2.3.2).

7.2.2.8 Effects on efficiency in resource use

Both PSI and CFSI have contributed towards increasing financial resources in all the case-study schools. Sporadic school grants from the government, the World Bank and UNICEF were topped up by parents with additional funds, in-kind resources, labour and expertise, resulting in small-scale improvements in buildings and infrastructure. When children make use of these new facilities the schools will be able to improve learning and acquire a higher-level of value for money and cost-efficiency (see 6.2.3.3). Moreover, school-based plans under both PSI and CFSI demonstrate the horizontal equity principles in the distribution of resources, subject, however, to the availability of such resources. More than PSI, CFSI emphasises the vertical equity principles in favour of primary stage students, and this was noted in three of the schools (the Type1C/urban and both the Type3 schools) (see Chapter 5).

7.3 Recommendations

In the light of the findings the following recommendations are made.

1. Improving congruence between contemporary policies for better results

It is recommended that the Policy and Planning Division of the MoE should conduct a sound policy discourse among all responsible parties prior to the introduction of any new school-based policy, in order to ensure coherence between policies in their application in the heterogeneous school system. Further, a policy dialogue is essential for ensuring synchronisation between PSI and CFSI, in line with Recommendation No. 4 below.

2. Improving school organisational practices and effects

In order to strengthen SBM, it is necessary to

- (i) harness the communities' knowledge in school pedagogical practices;
- (ii) strengthen the participatory planning approach which shares ownership of plans between stakeholders; enhance the clarity of strategies, targets and community contributions; and establish a criteria-based review mechanism through SDC prior to Zonal Director's approval of plans;

- (iii) strengthen SBTD so as to create a professional community of teachers;
- (iv) integrate PSI and CFSI to collaborate in improving access and participation and to expand opportunities for learning.

3. Harmonising the development partners' assistance

It is recommended that the MoE should independently analyse the robustness, anticipated outcomes and sustainability of any policy suggested by the development partners and incorporate it into the national policy framework. The development partners' assistance should flow to the schools through the government financial procedures and mechanisms.

4. Integrating PSI theory and CFSI principles within one SBM Model

The findings of the study, together with the researcher's reflections, suggest that rather than strengthening PSI and CFSI separately, an integration of these two is preferable, one that offers a comprehensive, holistic approach to SBM. Accordingly, a **'Learner-Friendly SBM Model'** (LFSBMM) is recommended below. It synchronises the objectives of PSI and the principles of CFSI, as well as addresses the deficiencies of each.

(i) Objectives of the Learner-Friendly SBM Model (LFSBMM)

The objectives of the proposed LFSBMM are to:

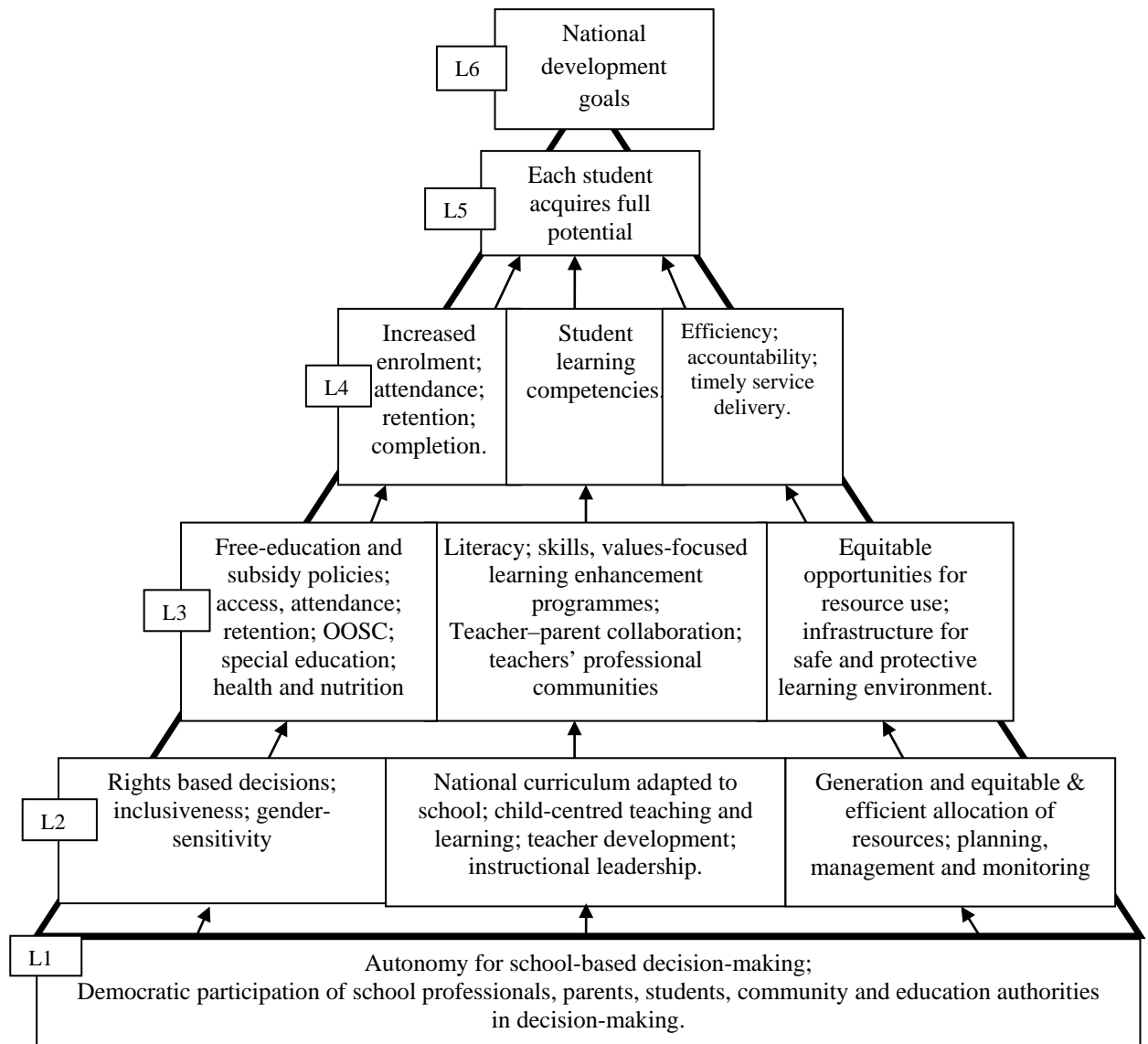
- i. transfer reasonable autonomy in management, thus enabling schools to make democratic decisions;
- ii. promote the participation of school professionals, parents and students in decision-making within an official structure;
- iii. guide school decisions to ensure the principles of equity and children's right to education;

- iv. guide school decisions to provide equal opportunities for quality education for students to acquire learning outcomes to their full-potential, irrespective of gender, ethnicity, religion, medium of instruction and socio-economic status, thereby meeting the learning needs of students and the expectations of the community;
- v. guide school decisions to promote students' health, safety and protection;
- vi. strengthen the participatory approach to school-based planning and enhance efficiency and equity in the investment of resources;
- vii. increase the use of regional resources and community contributions in the implementation of the curriculum and provide services for the benefit of the community;
- viii. develop the capacities of principals and promote SBTD, thus creating professional communities in schools;
- ix. increase transparency and accountability in school management; and
- x. ensure that all national and school-based policies, regulations, systems and practices are learner-friendly.

These objectives comprehensively capture the advocacy of both PSI and CFSI and offer a single coherent framework of aspiration.

(ii) The conceptual framework and activities of LFSBMM

The conceptual framework of LFSBMM, which consists of six levels, is illustrated in Figure 7.1.

Figure 7.1: Conceptual framework of LFSBM Model

Source: author.

The conceptual framework of LFSBMM is built on the theory and principles of both PSI and CFSI. Its First Level signifies the scope of autonomy and who makes decisions. Accordingly, the functioning of this Model fundamentally requires a reasonable autonomy transferred to a body of school professionals, beneficiaries (parents and students) and those who espouse children’s education for democratic decision-making as advocated by the theory of SBM/PSI and the core-principles of CFSI.

The Second Level of the Model emphasises the scope and nature of the decisions to be made. These decisions will be guided by the principles of equity, inclusiveness, and the concern for the quality, child-centredness and efficiency, so as to ensure the rights of children to access, learning and progression.

The Third Level of the Model demonstrates the organisational practices resulting from the decisions. These promote a learner-friendly environment and range of programmes to improve learners' cognitive and value-based competencies.

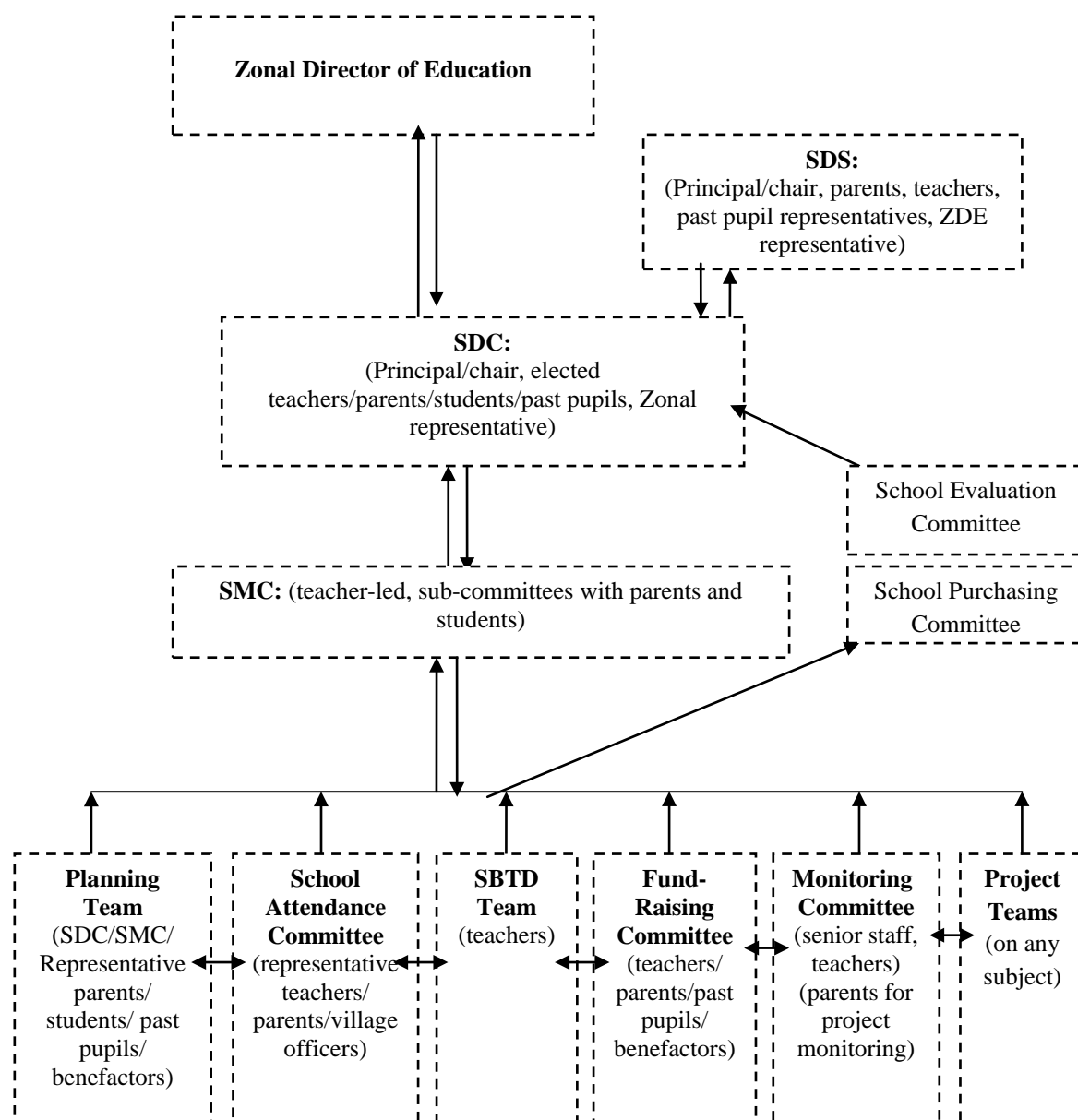
The Fourth Level of the Model illustrates the intended intermediate results of the Model. These include increased enrolment, participation, learning outcomes, efficiency and accountability.

The Fifth Level shows that a successful implementation of the Model will enable each student to reach their full potential. This is a common aspiration of both PSI and CFSI.

The Sixth Level denotes that the LFSBMM, in the long run, will enable schools to contribute towards the national development goals.

(iii) An integrated structure for decision-making

The functioning of the above conceptual framework requires an official decision-making body. It is recommended that the existing SDC should continue as the main decision-making body. It is also recommended to include student representatives in the SDC and SMC along with the other representatives and also Zonal Directors' representative thus assuring the Balanced Control Model of SBM (cf .2.2.2.3.4). The SDS and CFSI structures have been integrated into it appropriately, and the proposed integrated structure is shown in Figure 7.2.

Figure 7.2: The integrated decision-making structure of the LFSBM Model

Source: author.

The responsibilities, composition and functioning of the structure are explained in Table 7.1.

Table 7.1: Committees of the LFSBM Model

Committee	Responsibilities	Composition/Membership/ Meetings
SDC	<p>Legitimate, core decision-making body, responsible for:</p> <ul style="list-style-type: none"> -Making all managerial and financial decisions on the basis of guiding principles stated above; -Guiding SSA based on CFS criteria (with a wider consultation of stakeholders), developing and reviewing plans, approval of school plans, proposals and budget estimates; -Ensuring timely delivery of educational services; -Welfare of students and teachers; and -Ensuring achievement of all objectives stated above. 	<p>Chair: Principal;</p> <p>Parents' membership: proportionate to student population/ elected at SDS meeting;</p> <p>Teachers' membership: proportionate to teacher cadre/ elected at SDS meeting;</p> <p>Students' representatives: Proportionate to student population/ elected at a student forum;</p> <p>Past pupils: three nominees/ nominated by their Association;</p> <p>Total membership: equal/less than fifteen;</p> <p>Secretary/SDC elected from among parent members;</p> <p>Treasurer/SDC- elected from among teacher members;</p> <p>Duration: two years;</p> <p>Meetings: Monthly.</p>
SDS	<p>Acts as a body to</p> <ul style="list-style-type: none"> -Guide school community to address performance issues; -Elect SDC members democratically; -Validate plans, budget estimates, expenditure statements, school performance reports; -Ensure transparency and accountability. 	<p>Chair: Principal;</p> <p>Secretary: SDC Secretary;</p> <p>Treasurer: SDC Treasurer;</p> <p>Membership: a parent/guardian of each student;</p> <p>Duration: two years;</p> <p>Meetings: at least twice a year.</p>
SMC	<p>Responsible for:</p> <ul style="list-style-type: none"> -Planning and development; -Organising SSA, identifying priorities and drafting plans; -Suggesting special projects; -Implementing SDC decisions and projects through sub-committees; -Ensuring functioning of sub-committees; -Undertaking analytical exercises, -Preparing progress reports and submitting these to the SDC. 	<p>Chair: Deputy Principal or a Senior Teacher from among the SDC teacher-members, elected at the SDS;</p> <p>Membership: teachers elected at a staff meeting proportionate to the total cadre;</p> <p>Duration: two years;</p> <p>Meetings: Monthly/ when necessary.</p>
Sub-committees: (teachers/ parents/ students)	<p>Various sub-committees with specific responsibilities, tasks and emerging objectives, formed under SMC, e.g.:</p> <ul style="list-style-type: none"> -<i>Planning Committee</i>: Coordinate SSA under the guidance of SMC/SDC, undertake CFS criteria-based evaluations, formulate plans and carry out projects. 	<p>Chairpersons: elected at staff meetings;</p> <p>Membership:</p> <p>Teachers- elected (at staff meetings) /volunteered;</p> <p>Parents- identified/volunteered;</p> <p>Well-wishers/benefactors- invited/volunteered;</p> <p>Students- nominated by teachers;</p>

	<p><i>-School Attendance Committee:</i> identify issues of access, participation, OOSC; propose remedial measures.</p> <p><i>-SBTD Committee:</i> identify teachers' professional development needs, prepare and organise annual SBTD programme.</p> <p><i>-Fund Raising Committee:</i> identify sources; organise fund raising activities.</p> <p><i>-Monitoring Committee:</i> Assist SMC and SDC to review progress and performance.</p> <p><i>-Project Teams:</i> on various subjects, e.g. improving language proficiency, performance in mathematics etc.</p>	<p>Duration: one year; Meetings: when necessary.</p>
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Schools with both primary and secondary stages should elect representatives from both stages. The structure adopts several layers in the decision-making process, and it largely accommodates the participation of teachers and parents. Through the SDS and Zonal Director's monitoring, transparency, validity and accountability of decisions should increase. Its success will, however, depend on the conceptual understanding of PSI and CFSI principles as well as the attitudes of the people involved in the decision-making and their un-biased decisions.

(v) Role of the Zonal Director

The Zonal Director of Education (ZDE) should nominate representatives for the SDCs and guide schools on the educational objectives through reviewing school plans, expenditure and the progress of schools. The ZDE should conduct a monthly meeting with the SDC representatives and take measures to address any issues in the schools.

4. Introduction of the Model to schools

It is recommended that the MoE should consider the following steps.

(i) Consultation process

The MoE (Policy & Planning Division) should organise a broad-based forum for consultation with the relevant national and provincial officials, the development partners, and the principals, teachers and parents (e.g. SDC members), on the Model.

(ii) Planning for implementation

(a) Transfer of autonomy

The MoE should decide the scope of autonomy to be transferred to schools in order to strengthen schools as primary units of improvement, recognising, however, the heterogeneity of the school system.

(b) Ensuring a school-based grant

The MoE and PEAs should strengthen existing school-based grant mechanisms, perhaps using capitation grants linked to indices of needs (norm-based), to meet the essential costs of maintenance, basic facilities, learning improvement programmes and SBTD so as to support the implementation of this Model. This will reduce the burden on parents.

(c) Preparation of guidelines and capacity-building

The MoE and NIE together should develop a modular-based training encompassing the theory of SBM, principles of CFS, results-oriented planning, student learning competencies, school financing and procurement regulations, and leadership qualities for developing the capacities of the principals. The training programme should include skills components in related areas, such as participatory planning and problem-solving. National and provincial level teams of trainers could construct a series of capacity-building programmes to equip zone-level officials and thereby extend support to schools. This will need to be a continuous process for the induction of new staff into the innovation and to adapt and improve its key features.

(iii) Assuring applicability and piloting the initiative

The Model is based on the universal principles of CFSI and SBM and their practical implications. It is recommended that this Model be piloted in selected schools for two years and the change evaluated. Since the GoSL has initiated a national programme to develop 1,000 secondary schools and 5,000 selected feeder primary schools (MoE, 2012), it is recommended that the Model be piloted in 20 such secondary

schools where only PSI was prevalent and also in 20 feeder primary schools where both PSI and CFSI were practised.

(iv) Monitoring and evaluation (M&E)

A set of indicators incorporating CFSI indicators and PSI objectives should be worked out to monitor progress at school, zonal, provincial and national levels. The SDCs, Zonal Director, Provincial Director and the MoE Secretary should conduct periodical reviews to evaluate the progress of the pilot implementation. The impact should be evaluated after 2-3 years by an independent evaluator.

5. Application of the Model in smaller schools

The application of the Model in smaller schools should be reconsidered by the MoE with alternative policy decisions, such as combining them in a school cluster (see 4.4.3.6).

7.4 Further research

The following possible research studies arise from the findings outlined.

- i. Conduct a nationally representative set of case studies on how PSI and CFSI have been practised and their impact on management practices, access and participation, and student learning outcomes, since the findings of the present study are limited in scope and generalisability and cannot reveal patterns across types of schools and the full range of factors that affect implementation.
- ii. In the light of the findings that both PSI and CFSI have increased the principal's financial and managerial responsibilities, undertake a study of the positive and negative influences of PSI and CFSI on the role of principals as instructional leaders and recommend relevant measures.
- iii. Study how schools have synchronised the CFS principles with the Grade 5 Scholarship Examination and the impact of the latter on the expected CFS pedagogy.

- iv. Establish an intervention in a small number of case-study schools based on the proposed LFSBMM outlined above.
- v. Using intervention and control groups evaluate the impact of the proposed LFSBMM.
- vi. Filling gaps in the present study, it is recommended that future research be undertaken on the students' perspectives of the changes brought about by the SBM initiatives and the impact of these initiatives on student learning outcomes.
- vii. Study the impact of the principals' power and gender considerations on the outcomes of SBM initiatives.

7.5 Researcher's overall reflections

SBM was proposed in Sri Lanka as a measure to address the differences between schools and to empower schools to better meet the communities' needs amidst the concerns as to whether heterogeneity between schools will permit this change as hoped. PSI as an SBM initiative and CFSI as a rights-based approach to school management were introduced as two separate initiatives during 2000s. The study found that even though PSI has not been able to fully address the differences between schools, it has contributed considerably towards improvements in community collaboration, infrastructure development and learning enhancement programmes. CFSI has complemented PSI by providing a rights-based and child-friendly conceptual framework for deciding on those improvements, and to a greater extent than PSI has drawn adults' concern towards care for children, and their access to education, health, safety and child-centred pedagogical practices. Even though not purposive or/and intended in the policies, these complementarities have strengthened school organisational practices and it could be assumed that if these two had not been together, such positive changes would not have emerged. Therefore, the integration of PSI and CFSI in the LFSBM Model, which fills the gaps in each of these initiatives, is a timely need for the Sri Lankan schools and it is hoped that this Model will make a positive and worthwhile contribution to the intermediate and long-term results of the education system.

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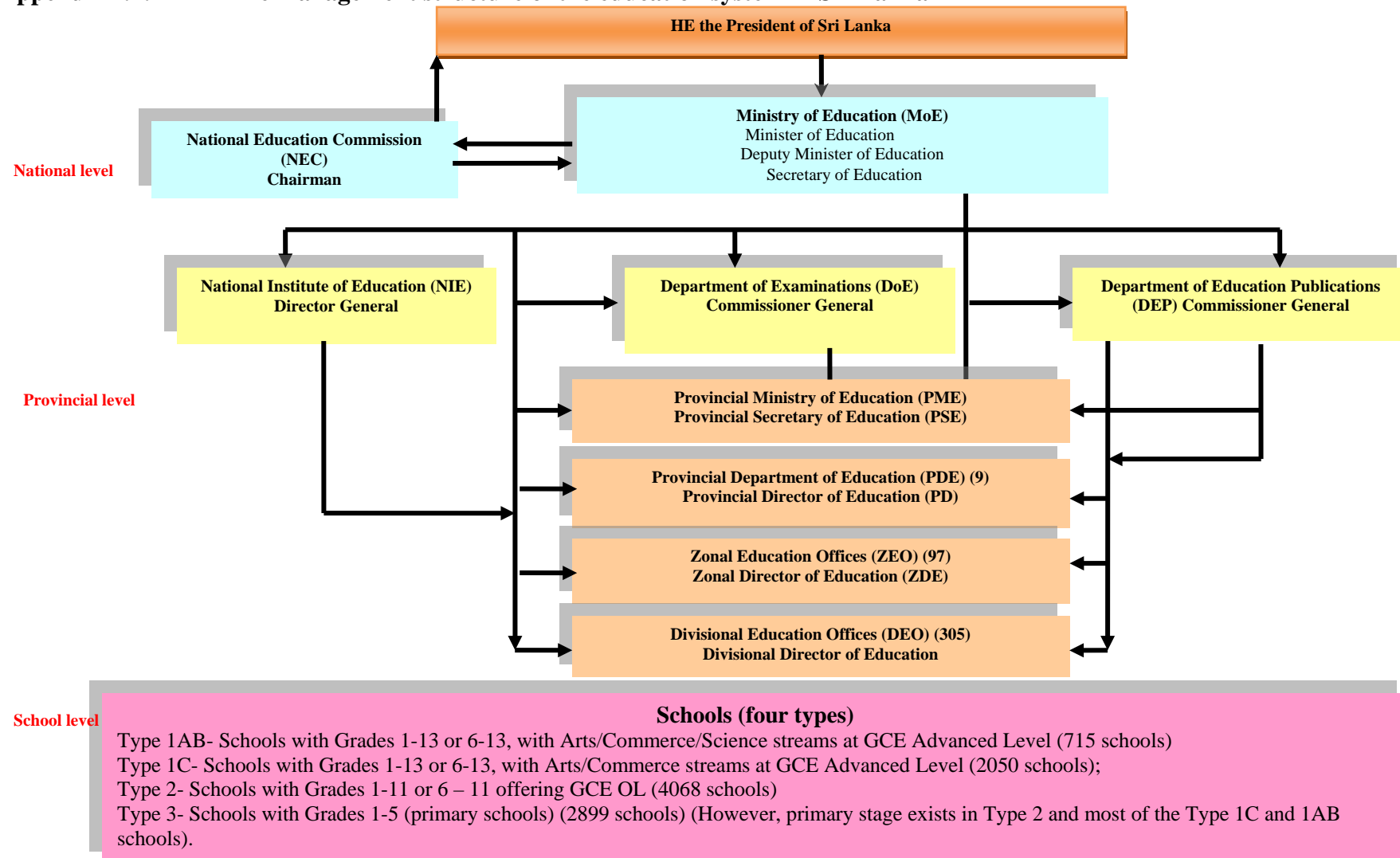
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Documents reviewed at case-study schools

- Annual Plans and CFS Plans of all case-study schools (2011 and/or 2012).
- CFS criteria based evaluation reports in case-study schools.
- SDC minutes of all case-study schools.

Appendix 1.1: The management structure of the education system in Sri Lanka

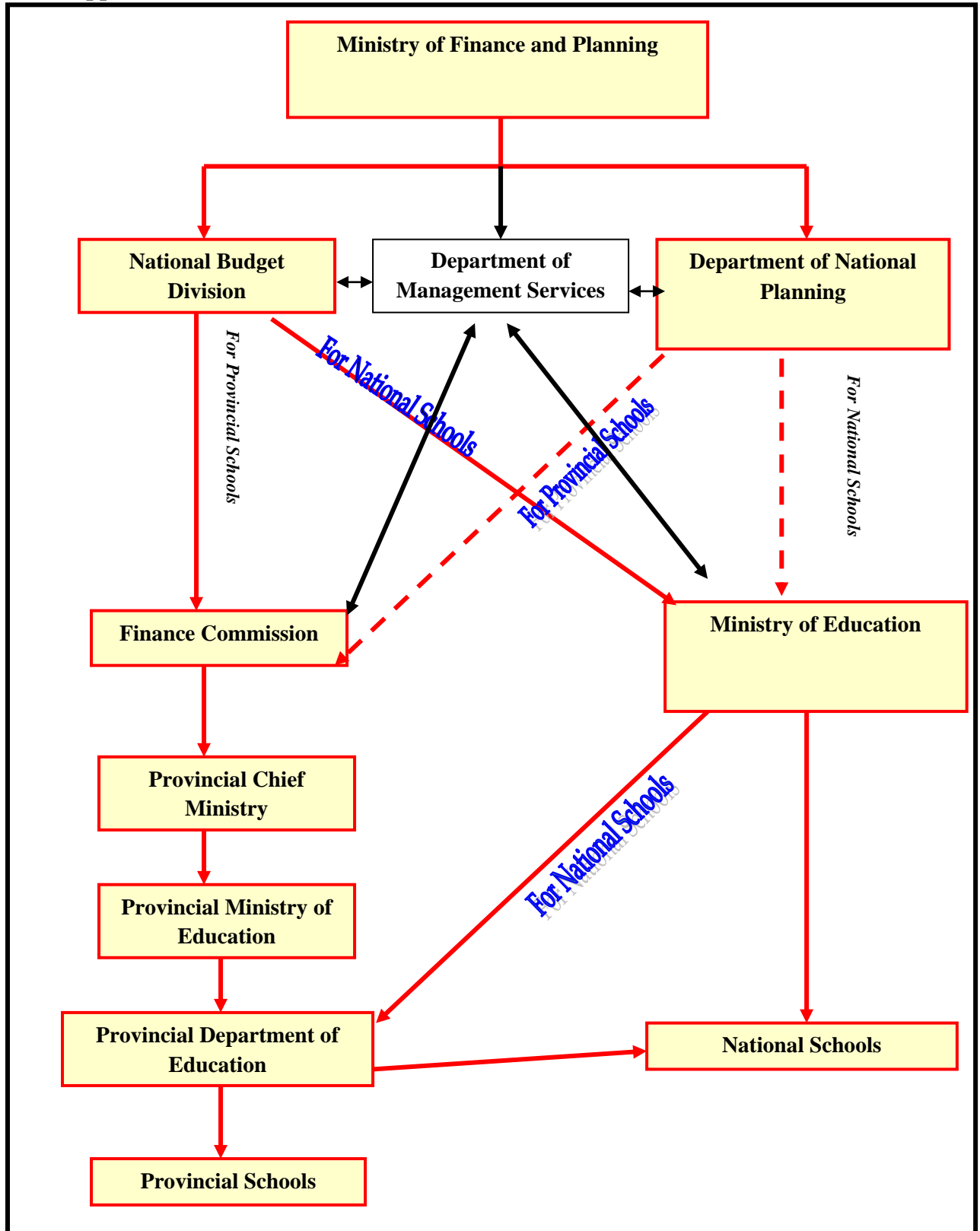


Responsibilities of central and provincial levels

Central level is responsible for national policy and planning on education, preparation of curriculum and teacher education curriculum, professional development of administrators, principals, initial teacher training, publishing and distribution of textbooks, administering national schools, providing subsidies, monitoring and quality assurance.







Provincial level is responsible for provision of facilities for provincial schools, develop provincial plans, administration of pre-schools, deployment, transfers and disciplinary control of educational personnel, conduct in-service teacher training programmes, implement Non-Formal Education programmes and procurement and distribution of learning resources (GoSL, 1987a, 1987b; MoE, 2007, pp. 15-16).

Appendix 1.2: Education Financial Allocation Flow of Government Schools



(MoE, 2007)

Appendix 2.1: SBM: Country-based information

	Very Strong:	Full or almost full control of schools by councils, parents or school administrators; full choice via possibility of creating new public schools (i.e. Charters)
	Strong:	High degree of autonomy given to school councils over budget, staffing etc. and control over budgets (i.e. schools receive lump-sum funding or grants).
	Somewhat Strong:	Councils have authority to hire and fire teachers and/or principals and set curricula, but more limited autonomy regarding finances and control of resources.
	Moderate to somewhat Strong:	characteristics in between moderate and somewhat strong.
	Moderate:	Schools councils have been established but serve mainly an advisory role, or have limited autonomy for planning and strategic purposes.
	Weak:	Public school system is decentralised to municipal or regional level, but schools have virtually no autonomy to make any administrative or curricular decisions.

Country /year commenced/name of the reform	Triggers	Model /Degree to which authority is devolved	Autonomy transferred to..	Main components
'Strong' Models				
Australia: The schools of the future (Victoria), School Councils Act, 1975; Education and Training Reform Act on school councils, 2006.	Efficiency, enhance educational opportunities for students.	Community Control Model / 'Strong'	Representatives from staff, parents, community and students and with a mandate to reflect diverse and unique needs of local communities.	Curriculum standards, budget, and personnel, supplies and services
e.g. Australia Better schools (Western Australia)	-do-	-do-	parents/community will have the majority of membership in school councils.	-do-
England & Wales, 1988, LMS, Education Reform Act, Circular No. 7/88[6] and Autonomous Charter Schools (Grant-Maintained Schools)	To delegate financial autonomy and responsibility of decision-making to schools; improve efficiency and effectiveness.	An evolving model/ 'Strong'	Powers given to the Head Teachers (principals) and the school governing bodies	Resource management,
El Salvador, 1991, EDUCO	To improve access (enrolment, reduce dropout rates and repetitions), efficiency, inefficient	Community-Control Model (during civil war, community started schools and EDUCO institutionalised those schools) /	SC receives funds	educational, fiscal, hiring and firing of personnel, setting curricula

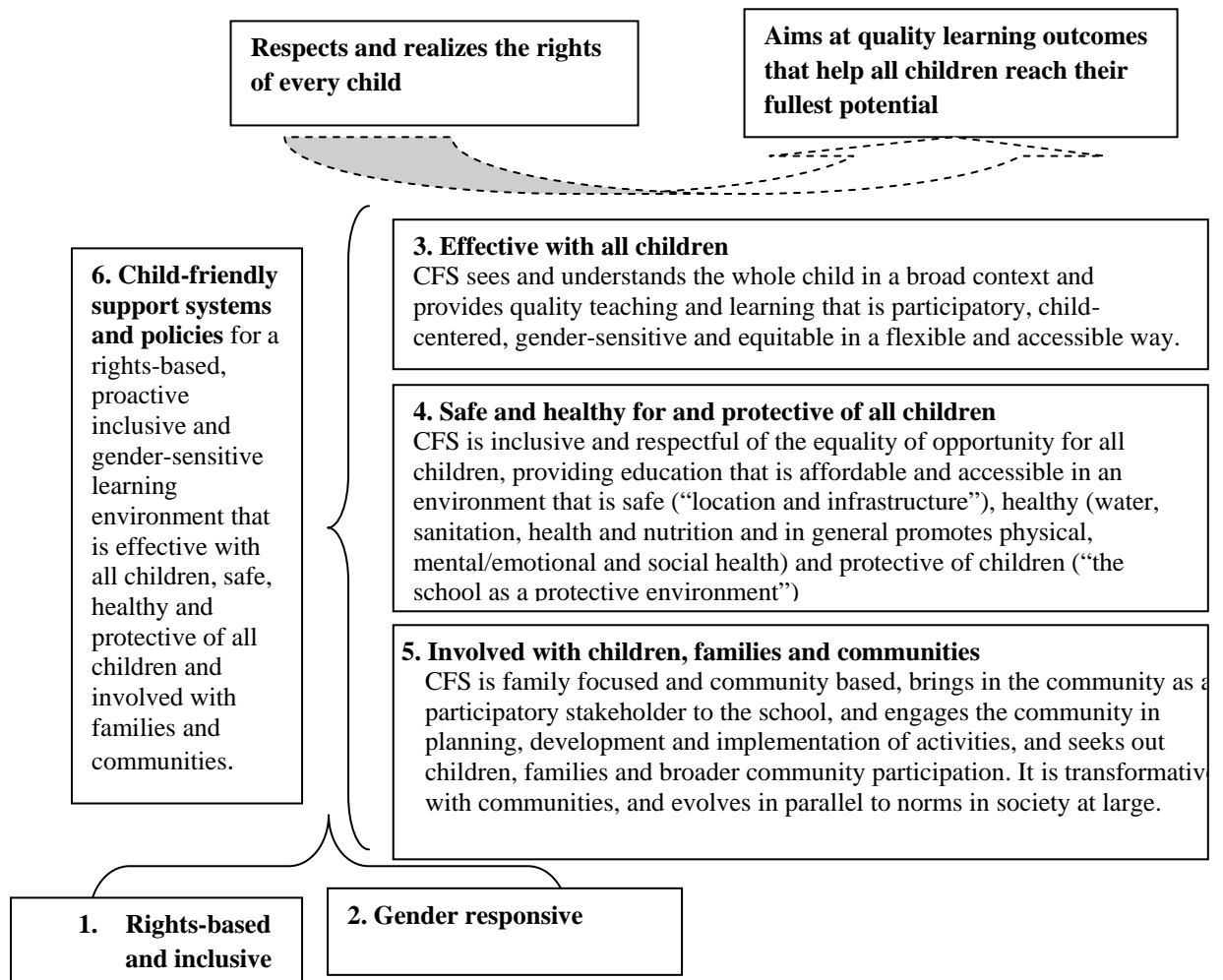
	management, low budgetary allocations) and quality; improve community participation	‘Strong’		
Guatemala, 1990, expanded in 1996, PRONADE	To increase enrolment in isolated rural villages, empower community and improve efficiency	Community-Control Model/ ‘Strong’		
Hong Kong, School Management initiative (1991)	Improving quality; school effectiveness; accountability; participatory decision-making; innovations.	Many models: PCM, BCM/ ‘Strong’	Self-managing schools; believes on human initiative and creativity, <i>equi finality</i> in achieving goals; SBM vs ECM; freedom for teachers and learners (PS)	Budget, curriculum and pedagogy, personnel.
Nicaragua (1991)	To give voice to parents and civil society and to increase operational efficiency	Balanced Control Model/ ‘Strong’	Attempts to balance professional and parental control. Teachers empowered in making key decisions; the school is accountable to parents /Community.	student admissions, curriculum, budget, school management, extra-curricular activities, supervision
‘Moderate’ Models				
Canada, (Edmonton, 1970s; Ontario, 1990s). School-based decision-making	More autonomy to schools and improve parental participation	Administrative Control Model/advisory-type school councils/ ‘Moderate’	Principal makes decisions in consultation with teachers, parents, students, and community members	budget, personnel, and curriculum,
‘Moderate to Somewhat Strong’ Models				
Cambodia (1998)	To achieve EFA and MDGs; to improve quality of education	‘Somewhat Strong’		
Indonesia, 1999 (pilot), 2001 (country-wide), Ministry of National Education Decree 044/U/2002	To enhance efficiency, quality, equality and relevance, recover from financial crisis/ cost recovery by transferring responsibilities to lower levels (political and	Balanced Control Model/ ‘Moderate to Somewhat Strong’	Community, students, parents, teachers, principal	

	fiscal).			
Thailand, 1999 (National Education Act)	Improve quality of education and country's competitiveness	Balanced Control Model/ 'Moderate to Somewhat Strong'	Board with parents, teachers, community, local administration, alumni, scholars, institution head -a member/Secretary.	Educational management regarding academic matters, budget, personal.
USA (Chicago, Florida, Virginia, New York, and other states) in 1970s-1980s	Efficiency, empower teachers, promote community participation, improve student achievement	varied models (ACM, PCM, CCM, BCM)/ 'Moderate to Somewhat Strong'	Depending on the location, parents/community/teachers contribute in councils	-do-
'Weak' Models				
Mexico (2001)	Improve quality through more autonomy	Parent/Community-Control Model / 'Weak'	Mainly led by parents. SC plays an advisory role.	Instructional methods, planning for improvement

[Sources: Leithwood & Menzies, 1998; Di Gropello, 2006 (El Salvador, Guatemala, Honduras & Nicaragua); Nenyod, 2002 (Thailand); Cheng, 1996 (Hong Kong); Gamage, 1996 (Australia); Bandur, 2007; Shoraku, 2008; Sumintono, 2009; (Indonesia); World Bank, 2005 (Edmonton, Chile), Giles (1995); Levačić, 1998 (UK); MoE (2005; 2007;2008a); Santibanez (2007)].

Appendix 2.2 : Framework of CFS

Figure 2.2: A Framework of CFS



(UNICEF, 2006, p.2).

Appendix 2.3: CFSI: Country based experiences

Country	Objectives	Programmes
Malawi	Provide quality primary education.	Teacher training on CF methods; school feeding; take-home actions for girls and orphans; provide furniture, water & sanitation facilities; health improvement.
Nigeria	Create 600 CFSs from 2002 to 2007.	CFS principles with different emphases in different regions; resource provision; girls education. As a result, overall enrolment rates increased and gender gap reduced.
Philippines	Enhance school effectiveness; Protection; Community involvement; inclusion.	Capacity-building of teachers and school heads on child development, appropriate teaching methods; improve classroom discipline, referral services of abuse, violence and exploitation; school-community relationships, awareness for parents; student tracking system for at-risk children (frequent absentees, potential drop-outs, physically and sexually abused children, children with SEN and attention deficits and non-readers) through a profile of information on socio-economic, academic, health and nutrition status.
Mongolia	Ensure national policy aimed at improving the quality of education.	Policy provides support to national and sub-national levels and ensures the commitment of policy-makers, school managers, teachers, parents and communities to children, to secure their rights and provision of good quality education for them. CFSA is integrated into the teacher education curriculum and basic education programme incorporates CFS indicators for monitoring.
Gujarat, India	Get children back to school in the aftermath of earthquake in 2001.	Create temporary schools (about 2,300 tents facilitating 400,000 children) to prevent a loss of school education; psychological interventions; pre-service teacher training.
Bangladesh	Use CFSA in early childhood education and primary stage to facilitate transition from home to school.	Implement multi-grade community centres (para centres) to provide learning opportunities for children, disseminate messages on sanitation and early childhood development to families and assist families in establishing water and sanitation facilities.

(UNICEF, 2009a, pp.18-24).

Appendix 3.1: Interview Question Guides

(i) Interview Question Guide – Expected implications of PSI

Ref. RQ	Participants	Question
(a)	Policy Officials	Reasons for and the process of the initiation (4.4.1) Why was the PSI policy initiated in Sri Lanka and what were its policy expectations?
		How did you and/or your organisation (for DPs) become involved in the development of the PSI policy/programme?
		What were the reasons for initiating SBM in the early 1990s and PSI later on, in 2006?
		What strategies were used in order to communicate PSI policy to schools? Who were involved in them? Who, at school level received training? (4.4.2.1)
		Involvement of DPAs Did schools receive any financial support from any development partner agency or the government for implementation of PSI? If yes, what support, for what and when? How has such support been managed in the schools?
		Expected objectives/implications of PSI for policy and outcomes (4.4.2) What do you think were PSI's main policy objectives or planned outcomes? Did everyone share these objectives? If not, who had different views? What was their argument?
		What is your definition of PSI policy in Sri Lanka?
		Expected implications for organisational practices (4.4.3) The aspects of decision-making authority transferred to the schools Does PSI aim to decentralise autonomy to schools? What aspects of educational-decision-making authority have been transferred to the schools?
		Composition and the role of SDC What are the main characteristics of the design (model) of PSI? What is the composition and role of the SDC? Why was such a composition included in Sri Lanka's PSI design (Model)?
		In what aspects has PSI changed the role of the other education organisations?
		Expected changes in community participation and planning: Tell me whether and how PSI has changed the role of parents and teachers, especially, in terms of their participation in school decision-making? What changes have occurred in terms of planning at school level?
		Expected changes of roles of principals and teachers Please explain how the changes resulting from PSI have impacted on the role of the principal and that of the teachers?
		How did you expect PSI to change schools so as to achieve better student performance? What are the key assumptions of PSI for its successful development? What are the expected benefits, achievements or issues of PSI?
		Implementation of PSI in a heterogeneous school system What is your standpoint on the implementation of PSI in this heterogeneous system? In what aspects has it been successful? Also, are there any difficulties experienced by schools in practising PSI? If so, what are those difficulties?

(ii) Interview Question Guide –Expected implications of CFSI

Ref. RQs	Participants	Question
(a)	Policy Officials	Reasons for and the process of the initiation (4.5.1) Why was the CFSI policy initiated in Sri Lanka and what were its policy expectations?
		Were you involved in the development of the CFS approach and if so, what was your involvement? Who are the others involved in developing the current CFS policy and guidelines for Sri Lanka?
		How and when did the CFS concept originate/ commence in Sri Lanka? Please explain the reasons for initiating the CFSI ? How were the schools selected for the implementation of CFSI?
		What strategies were used in order to communicate CFSI to schools? Who were involved in them? Who, at school level, received training?
		Involvement of DPAs Did schools receive any financial support from any development partner agency or the government for implementation of CFS? If yes, what support, for what and when? How has such support been managed in the schools? What is your experience?
		Expected objectives/implications of CFSI for policy and outcomes (4.5.2): What do you think were CFSI's core objectives and intended outcomes? Did everyone share these purposes and planned outcomes? If not, who had different views? Did you consult grass-root level stakeholders such as teachers, principals and parents in developing this policy? If yes, how?
		What issues or gaps were expected to be addressed by CFSI?
		How do you define the CFSI in general and in particular in Sri Lanka?
		Expected implications for changed school organisational practices (4.5.3) Aspects of decision-making authority transferred to schools Does CFSI include any decentralisation of autonomy to schools? If yes, what aspects?
		What are the main characteristics/features of the design (model) of CFSI? How were the role and structure of schools changed after CFSI? If there are CFS committees, what are their composition and roles?
		Expected change in community Participation and planning: Tell me whether and how CFSI has changed the role of parents and teachers, especially in terms of their participation in school decision-making? What changes have occurred in terms of planning at school level?
		Expected changes of roles of principals and teachers: Please explain how the changes resulting from CFSI have impacted on the role of the principal and teachers.
		How did you expect CFSI to change school/schools effectively, to achieve better student performance?
		What are the key assumptions of CFSI for its successful development ?
		What are the expected benefits, achievements or issues of CFSI?

(iii) Interview Question Guide – Implementation and effects of PSI

Ref. RQs	Participants	Question
(a)	Principals Teachers/ PSI	What is your interpretation of PSI policy in Sri Lanka? How do you explain the specific objectives of the PSI ? (5.3.1.1 – 5.8.1.1)
	Parents	What do you mean by PSI? Can you define it in your own words? As you perceive them, what are the PSI objectives?
	Principals Teachers/PSI	How was PSI communicated to your school? How did you come to know about it?
	Parents	Do you know when PSI was initiated and what specific action was taken in the initiation of PSI in your school? What are the main characteristics of PSI in your school?
(b)	Principals Teachers/PSI	<p>Implementation of PSI: Change of school decision-making structures and processes (5.3.1.2 - 5.8.1.2)</p> <p>What major changes took place after the initiation of PSI in your school? What are the main changes that occurred in decision-making structures? How do the new structures function in your school? What are their compositions and how is the membership identified? How do they function? [Tell me some more about the school-based decision-making process has changed since the introduction of PSI/ the establishment of SDC and SMC. From your experience, which decisions/ authority have been transferred to schools with PSI?]</p> <p>[Could I have a look at the minutes of SDC meetings?]</p> <p>What are the differences between previous and current structures? Are there any links between them?</p>
(b)	Teachers	Are you a member of SDC and if so, since when? What is your specific role in the SDC? What is the role of the SDC? What is your experience of the CFSI?
(b)	Parents/ PSI	<p>What changes were brought about after the introduction of PSI? Are you a member of the SDC? How did you join, or were you elected to the SDC? What is your experience of CFSI?</p> <p>Do both PSI and CFS programmes have structures? In particular, what is the CFS structure?</p>
(b)	Principals Teachers/ PSI	<p>Nature of autonomy transferred</p> <p>What is your analysis of the nature of the autonomy transferred to the school within PSI?</p> <p>To what level are teachers given autonomy in decision-making and in which areas? (Examples).</p>
(b)	Teachers/ PSI	<p>Implementation of PSI: changes in school decision-making processes and priorities</p> <p>How does the SDC function in your school? How has school-based decision-making changed after introducing PSI? Please give some examples of the issues discussed and the decisions arrived at by the SDC in your school.</p>
(b)	Teachers/	How do the teachers, alumni and parents of your school participate in the

	PSI	decision-making process? Which group is actively involved in the decision-making process?
(b)	Principals Teachers/PSI	<p>Parents and community participation (5.3.1.3 - 5.8.1.3)</p> <p>What is your experience of the participation of parents and community in school decision-making and in school activities, and of the change in the role of parents after PSI, especially, parents from different socio-economic backgrounds?</p> <p>How does collaboration between teachers and parents focus on students' learning?</p> <p>What are your experiences of parents' participation in decision-making and in support of their children's learning?</p> <p>What is the socio-economic status of the parents of this school? If there are any groups from low socio-economic groups, what are your observations relating to their participation in decision-making?</p>
	Parents/ PSI	<p>How are you contributing to PSI?</p> <p>What is the socio-economic status of the parents of this school? Which group/who is actively involved in the decision-making process?</p> <p>What do you think of the way in which the parents and community have participated after PSI, especially parents from different socio-economic backgrounds?</p> <p>What is the collaboration like between teachers and parents?</p>
(b)	Principals Teachers/ PSI	<p>School Development Planning (SDP) (5.3.1.4 - 5.8.1.4)</p> <p>Has your school developed a school development plan (Medium-Term and an Annual) one?</p> <p>What are the objectives, programmes and activities of the plan?</p> <p>Could you explain how the plan was developed? Who was involved in the process and who decided the priorities?</p> <p>How did you finance the plan?</p> <p>How has PSI contributed to increasing the level of resources? If so, how and in which ways have you been able to increase/ generate resources?</p> <p>How do you monitor implementation of the school plan?</p> <p>On what principles have school resources been allocated/ distributed among the sections (e.g., primary and secondary), teachers and students?</p> <p>Who monitors the implementation of the plan?</p>
	Parents/ PSI	What do you know about the school development planning process? What are the priorities of the plan? How have you been involved in the planning process?
(b)	Principals	<p>Change in the role of the principals (5.3.1.5 - 5.8.1.5)</p> <p>Has PSI brought about any change in your role as principal of this school and if so, in what aspects? If you could elaborate, how has your decision-making role changed after PSI?</p> <p>When and where have you been essentially involved in PSI?</p> <p>Has PSI changed your professional life, and if so, how?</p>
	Parents/ PSI	<p>Change in the role of the principals</p> <p>What changes do you see in the role of the principal/teachers of your school after PSI?</p>
(b)	Teachers/	Change of the role of the teachers after PSI (5.3.1.5 - 5.8.1.5)

	PSI	Has PSI brought about any change in your role as a teacher of this school, and if so, in what aspects? When and where have you been involved in PSI? Has PSI changed your professional life, and if so, how?
	Principals	Change in teacher development How has PSI focused on teachers, teaching and teacher development in your school? What have you observed in teachers' commitment, participation in the school's common activities, classroom teaching and teachers' professional development? What is the nature of these changes and how were/are these changes being promoted?
(b)	Principals Teachers/ PSI	Effects on access to schooling and participation (5.3.1.6 - 5.8.1.6) Tell me about the access to schooling in the surrounding areas, and intake and enrolment in your school. What is the status of retention? How has your school been able to improve its status with regard to these factors? Since PSI, have you observed any difference in the status, and the way in which the school has improved its status in access and participation?
	Parents/ PSI	What steps has the school taken recently (since PSI) to improve enrolment, annual intake, daily attendance, and retention of students?
	Principals Teachers/ PSI	Effects on student learning (5.3.1.7 - 5.8.1.7) What effects have you noticed in relation to student learning and performance/ achievements in your school, since PSI? What are the measures taken to address any issues or problems in relation to students' learning and their performance and to improve the same since PSI? Who took the responsibility in this regard? How have you been able to contribute to promote student performance after PSI? School accountability What measures have been taken to increase accountability after PSI? How has the school been accountable to the school community?
	Parents/ PSI	What are the ways in which the parents support children in learning and have any specific actions been taken after PSI? What are the issues you have noticed in relation to student learning and performance and what are the measures the school has taken to address them after PSI? How has the school been able to declare its accountability to the school community?

(iv) Interview Question Guide – Implementation and effects of CFSI

Ref. RQs	Participants	Question
(a)	Principals Teachers/ CFSI	What is your definition of CFSI policy in Sri Lanka? How do you explain the specific objectives of the CFSI ? (5.3.2.1 – 5.8.2.1)
	Parents/ CFSI	What do you mean by CFSI? Can you define it in your own words? As you perceive them, what are the CFSI objectives?
	Principals Teachers/ CFSI	How was CFSI communicated to your school? How did you come to know about CFSI?
	Parents	Do you know when CFSI was initiated and what specific action was taken in the initiation of CFSI in your school? What are the main characteristics of PSI in your school?
(b)	Principals Teachers/ CFSI	Implementation of CFSI: Change of school decision-making structures and processes (5.3.2.2 - 5.8.2.2) What major changes took place after the initiation of CFSI in your school? What are the main changes that occurred in the decision-making structures? What are their compositions and how is the membership identified? How do they function? How has the school-based decision-making process changed after introducing CFSI? From your experience, which decisions/ authority have been transferred to schools with CFSI? [Could I have a look at the minutes of CFSC/SSA documentation?]
(b)	Teachers/ CFSI	Are you a member of the CFSC or SAC and if so, since when? What is your specific role in them? What is the role of the CFSC/SSA and SAC? What is your experience of the CFSC and SAC?
(b)	Parents/ CFSI	What changes were brought about after the introduction of CFSI? Are you a member of the CFSC or SAC? How did you join or were you elected to the SDC? What is your experience of the CFSC?
(b)	Principals Teachers/ CFSI	Nature of autonomy transferred What is your analysis of the nature of the autonomy transferred to the school within CFSI? To what level are teachers given autonomy in decision-making and in which areas under CFSI? (Examples).
(b)	Teachers/ CFSI	Implementation of CFSI: changes in school decision-making processes and priorities How does the CFSC/SSA functions in your school? How has school-based decision-making changed after introducing CFSI? Please give some examples of the issues discussed and the decisions arrived at in relation to CFSC/SSA in your school?
(b)	Teachers/ CFSI	How do teachers, alumni and parents of your school participate in the decision-making process? Which group/who is actively involved in the decision-making process.

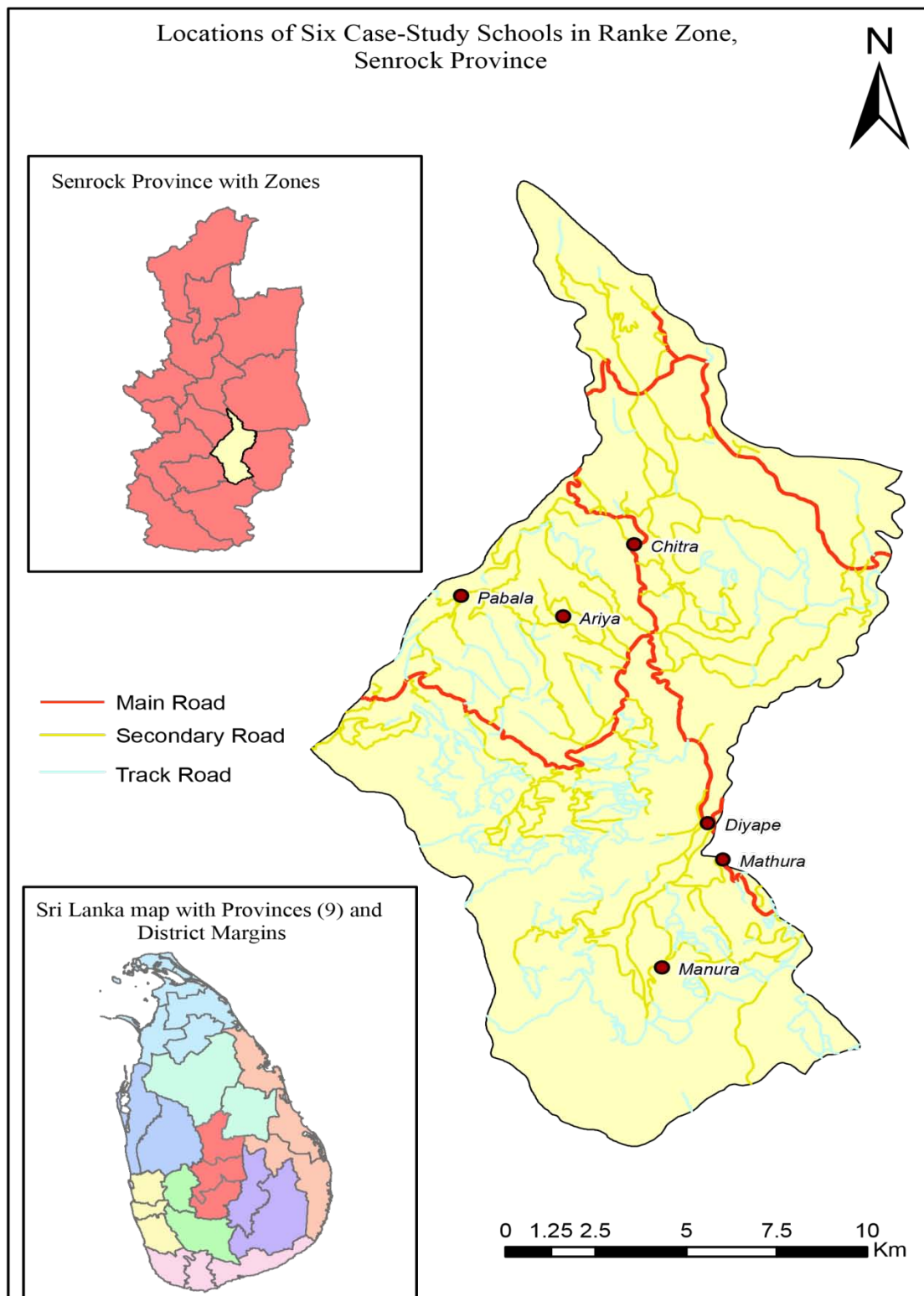
(b)	Principals Teachers	<p>Parents and community participation (5.3.2.3 - 5.8.2.3)</p> <p>What is your experience of the participation of parents and community in school decision-making and in school activities and the change in the role of parents after CFSI; in particular, the parents from different socio-economic backgrounds?</p> <p>How did collaboration between teachers and parents focus on students' learning?</p> <p>What are your experiences of parents' participation in decision-making and in support of their children's learning?</p> <p>What is the socio-economic status of the parents of this school? If there are any groups from low socio-economic groups, what are your observations relating to their participation in decision-making?</p>
	Parents/ CFSI	<p>How are you contributing to CFSI?</p> <p>What is the socio-economic status of the parents of this school? Which group/who is actively involved in the decision-making process?</p> <p>What do you think of the way in which the parents and community have participated after CFSI, especially parents from different socio-economic backgrounds?</p> <p>What is the collaboration like between teachers and parents?</p>
(b)	Principals Teachers/ CFSI	<p>School Development Planning (SDP) (5.3.2.4 - 5.8.2.4)</p> <p>Has your school developed a medium-term and/or an annual plan under CFSI?</p> <p>What are the objectives, programmes and activities of the plan?</p> <p>Could you explain how the plan was developed?</p> <p>Who was involved in the process and who decided the priorities?</p> <p>How did you finance the plans?</p> <p>How has CFSI contributed to increasing the level of resources? If so, in which ways have you been able to increase resources/ generate resources?</p> <p>How do you monitor the implementation of the plan?</p> <p>On what principles have school resources been allocated/ distributed among the sections (e.g., primary and secondary), teachers and students?</p> <p>Who monitors the plan implementation?</p>
	Parents/ CFSI	<p>What do you know about the school development planning process? What are the priorities of the plan? How have you been involved in the planning process?</p>
(b)	Principals	<p>Change in the role of the principals (5.3.2.5 - 5.8.2.5)</p> <p>Has CFSI brought about any change in your role as principal of this school, and if so, in what aspects? If you could elaborate how has your decision-making role changed after CFSI?</p> <p>When and where have you been essentially involved in CFSI?</p> <p>Has CFSI changed your professional life, and if so, how?</p>
	Parents/ CFSI	<p>Change in the role of the principals</p> <p>What changes do you see in the role of the principal/teachers of your school after CFSI?</p>
(b)	Teachers/ CFSI	<p>Change of the role of the teachers after PSI (5.3.2.5 - 5.8.2.5)</p> <p>Has CFSI brought about any change in your role as a teacher of this school and if so, in what aspects? When and where have you been involved in</p>

		CFSI? Has CFSI changed your professional life, and if so, how?
	Principals	<p>Change in teacher development How has CFSI focused on teachers, teaching and teacher development in your school?</p> <p>What have you observed in teachers' commitment, participation in the school's common activities, classroom teaching and teachers' professional development?</p> <p>What is the nature of these changes and how were/are these changes being promoted?</p>
(b)	Principals Teachers/ CFSI	<p>Effects on access to schooling and participation (5.3.2.6 - 5.8.2.6)</p> <p>Tell me about the access to schooling in the surrounding areas, and intake and enrolment in your school. What is the status of retention?</p> <p>How has your school been able to improve the status with regard to these?</p> <p>After CFSI, have you observed any difference in the status and the way in which the school has improved the status in access and participation?</p>
	Parents/ CFSI	What steps has the school taken recently (after CFSI) to improve enrolments/ annual intake, daily attendance, and retention of students?
	Principals Teachers/ CFSI	<p>Effects on student learning (5.3.2.7 - 5.8.2.7)</p> <p>What effects have you noticed in relation to student learning and performance/ achievements in your school, after CFSI?</p> <p>What are the measures taken to address any issues or problems in relation to students' learning and their performance and to improve the same after CFSI? Who took the responsibility in this regard?</p> <p>How have you been able to contribute to promoting student performance after CFSI?</p> <p>School accountability</p> <p>What measures have been taken to increase accountability after CFSI?</p> <p>How has the school been accountable to the school community?</p>
	Parents/ CFSI	<p>What are the ways in which the parents support children in learning and has any specific action been taken after CFSI? What are the issues you have noticed in relation to student learning and performance and what are the measures the school has taken to address them after CFSI?</p> <p>How has the school been able to declare its accountability to the school community?</p>

(v) **Interview Question Guide – Similarities, differences and integration between PSI and CFSI**

Ref. RQs	Participants	Question
(e)	Principals Teachers/ PSI Parents/ PSI Teachers/ CFSI Parents/ CFSI	Similarities and differences between PSI and CFSI (5.3.3 - 5.8.3; 6.2) <ul style="list-style-type: none"> • According to your experience/viewpoint, what similarities and/or differences can be seen between PSI and CFSI? • How can the role and composition of the SDC,SMT and CFSC/SSA and SAC be expanded or revamped to meet the requirements of PSI and CFSA policy objectives? • According to your experience, what are the aspects/dimensions of CFSI that could supplement/complement the PSI and what are the aspects/dimensions of PSI that could supplement/complement the CFSI?
(f)	Principals Teachers/ PSI Parents/ PSI Teachers/ CFSI Parents/ CFSI	Integration of PSI and CFSI (5.3.3 - 5.8.3; 6.3) How have these two programmes been integrated? Who can take the initiative? What support is necessary for this integration?

Appendix 3.2: Locations of six case-study schools



Sri Lanka consists of nine provinces and 25 administrative districts (see Sri Lanka map above) scattered within these nine provinces. Also, in the education administrative structure, there are 97 education zones scattered within nine provinces and 25 districts. *Senrock* Province is located in the middle part of the country (in red in Sri Lanka Map) and it consists of 3 districts and 15 education zones (see *Senrock* province map in the box above) scattered in these 3 districts. The district located into the north of *Senrock* Province has 4 education zones, the district in the middle has 6 education zones and the district located in the south of the province has 5 education zones including *Ranke* Zone (see the zone in yellow in *Senrock* province map) . The schools are indicated in the enlarged *Ranke* zone map above (see red dots in the yellow colour *Ranke* zone map).

Appendix 4.1: Background and trends towards School-Based Management in Sri Lanka

The education system in Sri Lanka was expanded with the sanction of the State Council of Ceylon²⁴ obtained for a Scheme of Free Education by Dr C.W.W. Kannangara to provide all children of the country equal opportunities for education from kindergarten to university, irrespective of their socio-economic background. Independent Sri Lanka undertook two major ventures: transformation of (i) the colonial education system into a national system and (ii) an elite system into an egalitarian system. It was in this background that during 1960-61 assisted denominational schools were taken over by the Government with a view to democratising education (Udagama, 1999, pp.6-40). Therefore, after Independence was declared in 1948, a centralised education system was established.

Since the 1960s, Sri Lanka has had some kind of decentralisation of administration mostly to promote people's participation in national development and to address problems such as unemployment and high poverty levels (Rondinelli & Nellis, 1986). The early attempts were confined to transferring responsibilities and financial grants from the central government to the sub national units such as District and Divisional Development Committees established in 1970s (Samaratunge & Bennington, 2002, p.91). However, these attempts had not promoted meaningful people participation in investment projects at the local level (Rondinelli, 1983) despite the perceived objectives of balanced local and regional development.

In the education system, certain attempts at decentralisation of management have been recorded since the 1960s. They included an increase in the number of district education offices even though, reportedly, the technical know-how was inadequate to establish systems for planning, management and monitoring at regional levels. The national education system was decentralised with the GoSL's legislative decentralisation of administration through 13th Amendment to the Constitution in 1987, which devolved powers to eight Provincial Councils (PCs). This was an attempt apparently influenced by open economic policies and the need to find solutions to the ethnic conflict experienced in the early 1980s. Each PC had a Governor appointed by the President and an elected Chief Minister and other Ministers (Provincial Councils Act No. 42 of 1987)²⁵. Decentralisation of the education system provides an example of political and administrative decentralisation with devolved and collaborative functions between national and provincial education authorities, establishing a new administrative

²⁴Sri Lanka was named as Ceylon during the colonial period.

²⁵The number of provinces was reverted to nine with the de-merging of the Northern and Eastern provinces in 2008, upon a court decision.

structure. This change promoted local decision-making with autonomy for the Provincial Councils (GoSL, 1987a; 1987b).

Therefore, the current education system functions through a central – provincial collaborative management structure. The National Education Authority is comprised of the Ministry of Education, which is responsible for policy formulation, policy monitoring, recruitment of educational personnel, and to ensure free-education policies. The National Institute of Education for the national curriculum, Department of Examinations for national testing and evaluation and Education Publications Department for textbooks development, publishing and distribution function under MoE. There are 340 national schools directly managed by MoE while the rest of the schools are managed by the provinces within the national policy. The National Education Commission established in 1990 is responsible for recommending to the President on matters relating to educational policy (Appendix 1.1 depicts the management structure of the system) (MoE, 2007).

Each Provincial Education Authority comprises the Provincial Ministry of Education and the Provincial Department of Education and under it the Zonal Education Offices (currently 97) and the Divisional Education Offices (currently 305). The Provincial Director of Education plays a dual role, as she/he leads the provincial functions under the Provincial Secretary of Education while being responsible for functions within the national policy under MoE. Under the Provincial Director, Zonal Directors of Education are responsible for coordinating educational programmes, monitoring and supervision, and Divisional Education Officers are responsible for facilitating the general administration of schools (MEHE, 1992; MoE, 2007).

Appendix 4.2: Introduction and expansion of PSI by zones (2006-2011)

Province	Name of the zones						
	2006	2007	2008	2009	2010	2011	
WP	1. Colombo	1. Kalutara	1. Minuwangoda 2. Kelaniya	1. Homagama	1.Sri jayawarenepura 2. Horana	1. Piliyandala 3. Negambo	2. Gampaha 4. Matugama
CP	2. Wattegama	2. Hanguranketa	3. Galewala 4. Hatton	2. Wilgamuwa	3. Theldeniya 4. Walapane	5. Kandy 7. Gampola 9. Matale 11. Nuwaraeliya	6. Denuwara 8. Katugastota 10. Naula 12. Kotmale
SP	3. Ambalangoda	3. Tangalle	5. Akuressa 6. Hambanthota	3.Mulatiyana	5. Galle 6. Matara	13. Elpitiya 15. Morawaka 17. Walasmulla	14. Udugama 16. Deniyaya
NP	4. Jaffna	4. Mannar 5. Vauniya (South)	7. Walikamam 8. Vavuniya (North)	4. Wadamarachchi	7. Islands 8. Thenmarachchi	18. Jaffna 20. Killinochchi	19. Madu 21. Thunukkai
EP	-	6. Samanthurai	9. Paddirippu 10. Akkarapattu	5. Kantale	9. Kalkudah 10. Mahaoya	22. Batticloa 23. Batticloa Central 24. Dehiaththakandiya 25. Ampara Kalmunei 27. Trincomallee	26. 28. Mutur
NWP	5. Chilaw	7. Kuliyaipitiya	11. Ibbagamuwa 12. Nikaweratiya	6. Giriulla	11. Puttalam 12. Maho	29. Kurunegala	
NCP	6. Thambuttegama	8. Hingurakgoda	13. Polonnaruwa 14. Dibulagala	7. Galenbidunuwewa	13. Kekirawa 14. Kebitigollawa	30. Anuradhapura	
UP	7. Wellawaya	9. Badulla	15. Bibile 16. Welimada	8. Mahiyanganaya	15. Passara 16. Monaragala	31. Bandarawela	
SaP	8. Kegalle	10. Embilipitiya	17. Nivithigala 18. Balangoda	9. Mawanella	17. Ratnapura 18. Dehiovita	-	
No. of zones	08	10	18	09	18	31	

(MoE, 2010b)

Appendix 4.3: Introduction and expansion of CFSI

Period	Initiative	Responsibility
2002- 2004	Pilot project in 124 schools in Bingiriya, Udubaddawa and Chilaw divisions in the North Western Province	North Western Province & UNICEF
2003-2004	Sharing lessons learned with the primary education officers of NIE and MOE	MoE/ UNICEF/NIE
	Introduce the CFS concept to 2 schools per zone in the country	Primary / MoE
	Publishing a booklet on CFS	MoE/NIE/UNICEF
2004	Inclusion of CFS in the GOSL-UNICEF country programme and implementation in 30% of schools in focus districts (1200 schools island-wide)	Zones in UNICEF focus districts- entire North, East, Hambantota, Nuwara eliya, Badulla, Moneragala, Anuradhapura, Polonnaruwa under the supervision of provinces and supported by UNICEF
2005- 2007	Review and report	Provincial departments, MoE and UNICEF
	Introducing curriculum content facilitating CFS and capacity building	NIE and UNICEF
2007	MOE was supported with a consultant for one year to develop CFS National Framework	MoE, UNICEF
2008	High level advocacy on CFS and capacity building	MoE, UNICEF
2009- 2010	Publishing the CFS guidance manual	MoE, UNICEF
2011	Drafting the training manual and monitoring framework	MoE, UNICEF

(Author: DP2 – Representative interviewed from UNICEF).

Appendix 4.4: CFS dimensions and indicators

S/No.	Dimension	Indicators
1	Rights-based and proactively inclusive	Effective mechanisms for preventing drop-outs and seeking and responding to out-of-school children are in place and used.
		All children have equal access to activities and resources in the school
		Corporal and psychological punishment are not practiced and preventive measures and responses to bullying are in place
		The school's undertakings are based on the understanding of the child rights by the whole school community
2	Gender-responsive	Equal opportunities exist for girls and boys to support completion of primary education and transition to secondary education
		Girls and boys participate on an equal basis in all school activities (curriculum and co-curriculum, management)
		Physical facilities are appropriate for girls and boys
3	Improving children's learning outcomes	Adequate human resources and classroom facilities are available to support learning
		The classroom atmosphere is inclusive, stress-free, democratic and conducive for learning
		School curriculum is adapted to bring in local environment, culture and knowledge
		Teachers are continuously improving their capacity through provided opportunities and their own initiatives
		Child centered teaching methodologies are used
		Essential learning competencies are regularly assessed and effective actions taken to ensure each child achieve ELC mastery level
4	Healthy, safe and protective of children	School level policies on health, safety and protection are in place
		School has available adequate facilities related to food, water & sanitation
		School environment & facilities related to food, water & sanitation are well maintained, safe and hygienic
		Competency-based health education is effectively conducted for students
		Effective psycho-social support and referral services are available and used
		Children are protected from harm, abuse and injury
		Readiness to operational emergency and response plans

5	Actively engaged with students, families and communities	Schools conduct self assessments and develop school development plans with effective participation of students, families, teachers and communities
		Principal, teachers, students, families and the community actively participate in the implementation of the school development plan
		Principal, teachers, students, families and the community actively participate in monitoring and evaluation of the school development plan
		Schools are actively engaged in promoting and supporting child friendly home/community environment
6	Supported by child friendly systems, policies, practices and regulations	Government policies, regulations and their implementation are supportive to the development of CFS
		Effective coordination exists between all relevant government agencies at all levels
		Appropriate financial resources are allocated at different levels
		Quality technical support systems exist at all levels
		Curriculum, textbooks and teachers' manuals incorporate child friendly principles

(MoE, 2008b).